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An analysis of the resource mobilization function within the United Nations system

Note by the Secretary-General

The Secretary-General has the honour to transmit to the members of the General Assembly the report of the Joint Inspection Unit entitled "An analysis of the resource mobilization function within the United Nations system".

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JIU/REP/2014/1

AN ANALYSIS OF THE RESOURCE MOBILIZATION FUNCTION WITHIN THE UNITED NATIONS SYSTEM

Prepared by

Gopinathan Achamkulangare

Joint Inspection Unit

Geneva 2014

United Nations

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Executive Summary

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JIU/REP/2014/1

The objective of the review was to examine the status of resource mobilization in the United Nations system organizations and identify good practices. The aim was to: (a) map out the existing resource mobilization strategies/policies; (b) identify experience and good practices related to their implementation; (c) explore the coordination within and among entities in their headquarters locations and in the field; (d) review the functioning and staffing of resource mobilization units/offices; and (e) seek to understand the perspective of major member State contributors.

Main findings and conclusions

The report contains five recommendations, two of which are addressed to the legislative bodies of the United Nations system organizations and three to their executive heads. Lessons learned and good practices are offered in chapter VI.

Of the 28 organizations reviewed, 5 do not have a formal, comprehensive organization-wide strategy for resource mobilization, although most have policies and procedures in place; 5 are in the process of developing their strategies. Elaborating a strategy helps to avoid sending different messages to donors and to forestall "in-house" competition; helps to avoid piecemeal efforts and to prioritize the need to strengthen capacities and efforts; creates a sense of ownership and accountability, thus leading to better-planned, up-front pipeline resources; helps in allocating resources where they are most needed; and ultimately leads to comprehensive programme delivery and impact. The activities of the executive head, the board and the legislative body constitute an enabling environment for successful resource mobilization (recommendation 1).

Organizations should put in place clearly identifiable structures and arrangements with primary responsibility for resource mobilization for the systematic implementation of the resource mobilization strategy/policy, monitoring and regular updates. The existence and size of the structure in place vary from one entity to another. Organizations which have large portions of their revenue coming from voluntary contributions have separate structures for dealing with the private sector, as they have realized that the skills needed are different from those required for the member States (recommendation 3).

Most donors agree that the United Nations development system needs long-term commitments in order to effectively plan, programme and deliver its assistance. Multi-year commitments on the part of donors enhance predictability of resource flows, and unearmarked or lightly earmarked funding provides for a better allocation of resources to mandated programmes and activities. "Structured financing dialogues" within organizations could be useful in this regard in order to agree on a set of results to be achieved during the strategic planning period and on the level of financing required and ways of financing the agreed results.

Resource mobilization is no longer looked upon in purely transactional terms; it is perceived as attentive nurturing of a lasting relationship with donors as partners, requiring effective communication strategies and continuous dialogue and back-end servicing.

However, the review found that the ratio of non-assessed to assessed contributions has expanded significantly in recent years, consequently restricting the use of funds and resulting in more intensive scrutiny and demands from donors for extra reporting. Member States make exhortations to themselves routinely about the need for enhancing core resources. Most donors maintained that while strengthening core resources was indeed a desirable goal, many factors worked to shift them towards non-core contributions: the need for visibility and attribution; pressures from parliaments, media and taxpayers in general for greater accountability; the inability of some of the United Nations organizations to oversee and report on core funding in a satisfactory manner; increased scrutiny of budgetary, audit and parliamentary authorities; and growing concern regarding value for money and results-based management of organizations and their expenditures. It becomes easier with specified/earmarked contributions to ensure that funds are aligned with the donors' own priorities.

Specified contributions pose a major challenge to the imperatives of long-term strategic planning, sustainability and prioritization for the organizations; they often lead to fragmentation of mandates as donors' priorities may trump organizational or legislated priorities. It is recognized by many donors that long-term predictable funding facilitates long-term planning and more efficient delivery of programmes. Integrating resource mobilization targets into strategic plans and programme budgets leads to more successful resource mobilization.

Furthermore, most donors base their funding decisions on their own assessments of the effectiveness of the organization, its ability to serve the donor's policy priorities and interests, its results-based management system, prospects for policy dialogue with its executive management, the organization's strategic plans, accountability and transparency, and related factors. There is a direct link between the results that organizations achieve and the types of funding that they receive. External studies by some major donors have served as wake-up calls for many organizations, encouraging them to undertake serious introspection, improve procedures and practices and make efforts to achieve greater efficiency and effectiveness.

The review also found that the dependence of most organizations on a small number of donors for the overwhelming part of their funding continues to persist. The emergence of non-traditional donors, both State and non-State, seems to have done little to alter the situation. Widening the donor base to include non-State entities such as private sector corporates, philanthropic foundations and high-net-worth individuals has implications for the working of the organizations: the need to put in place mechanisms for exercising due diligence, transparency and accountability.

Risk management has emerged as a critical area for resource mobilization as organizations have to deal with enhanced risks associated with raising resources from non-State entities. Due diligence processes and procedures for dealing with potential fraud, misconduct, misappropriations and financial wrongdoing are high on the agenda of both organizations and their donors. While donors would like the organizations to absorb all the costs of mitigating the extra risks, the latter would like to pass on to the donors at least part of those costs. In many organizations, the due diligence process is performed by the same individuals who are mobilizing resources from the entities subject to the due diligence, which represents a conflict of interest. Designating separate units which perform due diligence with the involvement of other departments will prevent such conflicts. Streamlining the performance of common due diligence steps so that they are not repeated separately by each organization would increase efficiency (recommendation 4).

Restrictions by the donors on the use of resources and their demands for additional reporting have built-in resource implications, including, inter alia, higher transaction costs. Many donors and some organizations acknowledge that the existing formats and systems of reporting are not adequate for the donors' requirements and/or expectations, which are derived largely from the concerns expressed by their own parliaments and parliamentary committees with regard to accountability. A common system of reporting with a format that would meet the expectations of donors and encompass the critical requirements of content, periodicity and the end use of funds needs to be pursued in order to minimize the administrative burden and reduce transaction costs (recommendation 5).

While understanding that all organizations compete for a finite amount of resources, there is room for coordination of practices within organizations and among them. The Mozambique case study, conducted as part of the present review, provides a successful example of coordination among agencies in a "Delivering as one" environment. Their obstacles come from issues which need to be resolved at the level of the United Nations System Chief Executives Board for Coordination (CEB), such as lack of synergies between the tools and the programmatic and budget cycles of agencies.

The need for training for resource mobilization specialists and, to a lighter degree, for all other staff is gaining recognition. Organizing communities of practice or similar informal networks in which resource mobilization specialists can share their lessons learned and good practices is desirable.

There is a clear need for sustained and purpose-oriented dialogue between the United Nations system organizations and their donors to consider, discuss and agree on practical solutions for a host of issues, such as the aforementioned flexible use of earmarked resources; the cost of additional reporting; the single audit principle versus verification missions; external assessments versus the oversight functions of the entities; developing a standardized template for reporting to donors which seeks to accommodate most donor requirements, but at the same time, can be flexible enough to be adapted by different entities; and arrangements for the sharing of risks arising from operations in fragile contexts.

Organizations recognize the importance of strengthening partnerships with donors. It is crucial that organizations reach out to identify and cultivate donors, manage relationships with them, and respond to their needs, priorities and demands. In the current global climate of declining contributions, strengthening partnerships with donors will remain a challenge for most organizations.

Recommendations for consideration by legislative bodies

- **The legislative bodies of the United Nations system organizations should periodically review the resource mobilization strategy/policy, including by providing political guidance and oversight of the implementation of the resource mobilization strategy/policy and by ensuring monitoring and the review of regular updates. (Recommendation 1)**
- **The General Assembly of the United Nations and the legislative bodies of the United Nations system organizations should request member States, when providing specified contributions, to make them predicable, long term and in line with the core mandate and priorities of the organizations. (Recommendation 2)**

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Abbreviations

BRICS	Brazil, Russian Federation, India, China, South Africa
CEB	United Nations System Chief Executives Board for Coordination
DAC	Development Assistance Committee (OECD)
DRRM	Donor Relations and Resource Mobilization Service (UNHCR)
FAO	Food and Agriculture Organization of the United Nations
IAEA	International Atomic Energy Agency
ICAO	International Civil Aviation Organization
ILO	International Labour Organization
IMO	International Maritime Organization
ITC	International Trade Centre
ITU	International Telecommunication Union
JIU	Joint Inspection Unit
MOPAN	Multilateral Organisation Performance Assessment Network
NGO	non-governmental organization
OCHA	Office for the Coordination of Humanitarian Affairs
OECD	Organization for Economic Cooperation and Development
OHCHR	Office of the United Nations High Commissioner for Human Rights
PARMO	Public Sector Alliances and Resource Mobilization Office (UNICEF)
PFP	Private Fundraising and Partnerships Division (UNICEF)
PSFR	Private Sector Fundraising Service (UNHCR)
QCPR	quadrennial comprehensive policy review of operational activities for development of the United Nations system
UNAIDS	Joint United Nations Programme on HIV/AIDS
UNCTAD	United Nations Conference on Trade and Development
UNDAF	United Nations Development Assistance Framework
UNDG	United Nations Development Group
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNESCO	United Nations Educational, Scientific and Cultural Organization
UNFPA	United Nations Population Fund
UN-Habitat	United Nations Human Settlements Programme
UNHCR	Office of the United Nations High Commissioner for Refugees

UNICEF	United Nations Children's Fund
UNIDO	United Nations Industrial Development Organization
UNODC	United Nations Office on Drugs and Crime
UNOPS	United Nations Office for Project Services
UNRWA	United Nations Relief and Works Agency for Palestine Refugees in the Near East
UN-Women	United Nations Entity for Gender Equality and the Empowerment of Women
UNWTO	United Nations World Tourism Organization
UPU	Universal Postal Union
WFP	World Food Programme
WHO	World Health Organization
WIPO	World Intellectual Property Organization
WMO	World Meteorological Organization

I. Introduction

1. Organizations of the United Nations system are funded through assessed contributions and/or voluntary contributions, and there is a wide range of funding models and terminologies. "The assessed organizations are funded through a mandatory scale of payments approved by the appropriate governing body. Additional contributions to the assessed organizations are deemed to be voluntary, although they are usually earmarked. However, for the non-assessed (or voluntary) organizations, all funding is voluntary."[1] Assessed contributions are regular budget resources intended to fund the core functions, expenses that are fundamental to the existence of an organization and its institutional mandates. Voluntary contributions generally support or supplement the substantive work programmes of an organization or activities of the humanitarian relief and development agencies, and provide technical assistance to developing countries either through multilateral arrangements or through the United Nations system.[2] The non-assessed organizations distinguish between core and non-core resources. Core resources are provided without any conditions to support the mandate of the organization (unearmarked/unspecified contributions). Non-core or extrabudgetary resources are so-called earmarked/specified contributions.[3]

2. The Joint Inspection Unit (JIU) previously reviewed aspects of resource mobilization in the context of its reports on voluntary contributions, trust funds and financing for humanitarian operations.[4] The current review is focused on resource mobilization related to voluntary contributions for financing operational activities for development, normative work and technical cooperation. Although contributions are sometimes made in terms of human resources (for example Junior Professional Officers), given the recently conducted JIU studies in the areas of, inter alia, staff, non-staff and consultants, the present review focused only on resource mobilization as it relates to funds. The current review also does not deal with the financing of peacekeeping and peacebuilding operations.

Objective

3. As part of its programme of work for 2013, JIU, in response to a suggestion from the United Nations Industrial Development Organization (UNIDO), decided to conduct a review of the resource mobilization function within the United Nations system organizations.

4. The objective of the review was to examine the status of resource mobilization in the United Nations organizations and identify good practices. The aim was to: (a) map out the existing resource mobilization strategies/policies within the United Nations system organizations; (b) identify experience and good practice related to their implementation; (c) explore the coordination within and among entities in their headquarters locations and in the field; (d) review the functioning and staffing of

[1] Note by the Secretary-General on the budgetary and financial situation of the organizations of the United Nations system (A/67/215), para. 2.

[2] United Nations Finance and Budget Manual, version 1.0, October 2012, p. 86.

[3] See notes by the Secretary-General A/65/187 and A/67/215 on the budgetary and financial situation of the organizations of the United Nations system.

[4] "Voluntary contributions in United Nations system organizations: impact on programme delivery and resource mobilization strategies" (JIU/REP/2007/1); "Policies and procedures for the administration of trust funds in the United Nations system organizations" (JIU/REP/2010/7); "Financing for humanitarian operations in the United Nations system" (JIU/REP/2012/11).

resource mobilization units/offices; and (e) seek to understand the perspective of major Member State contributors.

Scope and methodology

5. The scope of the review is system-wide, covering all JIU participating organizations: the United Nations and its funds and programmes, specialized agencies and the International Atomic Energy Agency (IAEA). The methodology included scoping interviews with representatives of selected JIU participating organizations[5] and a preliminary desk review of publicly available documents. The relevant period for the review was determined to be the three bienniums between 2006 and 2011, thus covering the years before and during the global economic and financial crisis. The desk review was followed by an inception paper and the development of questionnaires, which were sent to all participating organizations. All organizations responded to the questionnaire. The United Nations Secretariat, however, did not provide a consolidated response for the organization; rather, individual responses were received from different departments and some regional economic commissions and, in some cases, separate responses were received from different sections and units within a department.[6]

6. The Inspector conducted interviews (in person, or via video or telephone) with key officials of the United Nations organizations in Geneva, New York, Paris and Rome. A survey of resident coordinators was conducted in conjunction with the survey performed for the JIU review of support to the United Nations resident coordinator system. Seventy-seven resident coordinators responded to the survey, which represents a 61 per cent response rate. The Inspector undertook a mission to Maputo to do a case study of the coordination of resource mobilization in the field.

7. The opinions of Member States on resource mobilization were sought through interviews.[7] An analysis of the largest contributions of voluntary funding from member States on an annual basis (2006-2011) per organization showed that 89 member States were among the top 10 donors to at least one JIU participating organization during the same period. The views of those 89 member States were solicited through a questionnaire, to which 14 responses were received, for a response rate of 16 per cent. However, of the overall top 10 donors during the period 2006-2011 to the JIU participating organizations, 70 per cent responded to the questionnaire.[8]

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[5] United Nations System Chief Executives Board for Coordination, International Maritime Organization (IMO), United Nations Development Programme (UNDP), Office of the United Nations High Commissioner for Refugees (UNHCR), United Nations Children's Fund (UNICEF), UNIDO, World Food Programme (WFP).

[6] The parts of the Secretariat to which the JIU normally sends separate requests, the United Nations Conference on Trade and Development (UNCTAD), the Office of the United Nations High Commissioner for Human Rights (OHCHR), the United Nations Environment Programme (UNEP), the United Nations Human Settlements Programme (UN-Habitat) and the United Nations Office on Drugs and Crime (UNODC) (confirmed quantitative data only), submitted their questionnaire responses.

[7] While the Inspector sought to meet with more member States, the following responded positively to his request: Brazil, France, Germany, Japan, Norway, Republic of Korea, South Africa and the United States of America.

[8] Canada, Germany, Japan, Norway, Spain, Sweden and the United Kingdom of Great Britain and Northern Ireland.

8. In accordance with article 11, paragraph 2, of the JIU statute, the present report was finalized after consultation among the Inspectors of the Unit, so as to test its conclusions and recommendations against the collective wisdom of the Unit. Comments from participating organizations on the draft report have been sought and taken into account in finalizing the report.

9. To facilitate the handling of the report and the implementation of its recommendations and the monitoring thereof, annex V contains a table indicating whether the report is submitted to the organizations concerned for action or for information. The table identifies those recommendations relevant for each organization, specifying whether they require a decision by the legislative or governing body of the organization or can be acted upon by the executive head of the organization.

10. The Inspector wishes to express his appreciation to all who assisted him in the preparation of the present report, and in particular those who participated in the interviews and so willingly shared their knowledge and expertise.

Background

11. Resource mobilization is becoming increasingly relevant to all organizations of the United Nations system in the context of expansion of voluntary contributions, the global economic crisis, declining resource flows and greater demands for accountability. While it is recognized that there cannot be a one-size-fits-all approach, and that different organizations need to mobilize resources in different ways, there are some commonalities that pertain to all organizations.

12. The United Nations system organizations are only some of the several players in the international funding arena, which include, among others, the World Bank, regional development banks, global funds and international non-governmental organizations (NGOs). Major donors identify numerous strengths of the United Nations system, which persuade them to provide funding to, or through, United Nations entities: political neutrality and legitimacy; governance based on global development principles and standards; abundant capital and knowledge resources; advisory services and technical assistance; low transaction costs; broad technical base; economies of scale; efficiency gains; extensive geographical reach; large-scale funding targeting key priorities; contribution to global public goods; innovation support; the pivotal leadership roles the United Nations system plays with respect to donors; mandates and legitimacy to help deal with conflict situations; and a platform for action in every country in the world.[9]

13. However, issues with accountability and control, and with complexity, fragmentation, overlapping mandates and coordination problems, have been identified as some of the weaknesses of funding through the United Nations system.[10] The more closely the preferences of a government are aligned with those of the multilateral agency, the more likely the government is to fund the multilateral agency and the less

[9] See Organisation for Economic Co-operation and Development (OECD)/Development Assistance Committee (DAC), "What do we know about multilateral aid? The 54 billion dollar question", policy brief, 2012, and the United Kingdom, Department for International Development, "The multilateral aid review", 2012.

[10] See the United Kingdom, Department for International Development, "The multilateral aid review".

likely it is to be concerned with the risk of loss of influence over the funds.[11] When resource mobilization is addressed within the United Nations system, the following are taken into consideration: intergovernmentally agreed global priorities such as the Millennium Development Goals and goals and targets set in other international conferences; the foreign policy priorities of the donors; and the needs, requirements and national priorities of the programme countries.

14. In its resolution 67/226 of 2012 on the quadrennial comprehensive policy review of operational activities for development of the United Nations system (QCPR), the General Assembly, while focused on the United Nations development system, underscored several key issues related to resource mobilization, such as the need for an adequate quantity and quality of funding and the need to make funding more predictable, effective and efficient; the importance of broadening the donor base; the importance of developing a "critical mass" of core resources; the need to consolidate all available and projected core and non-core resources within an integrated budgetary framework; and the need to avoid subsidizing non-core/extrabudgetary financed activities with regular/core resources.

II. Institutional framework

15. The proliferation of terms used to describe the same notion is an issue from which resource mobilization is not immune. In 2012, the note by the Secretary-General on the budgetary and financial situation of the organizations of the United Nations system (A/67/215), for the first time, presented the total revenues of the United Nations organizations by type of funding: assessed contributions, voluntary contributions (specified and non-specified) and revenue from other activities. In the note, the Secretary-General explained that, under the International Public Sector Accounting Standards, the concept of voluntary, specified and not-specified contributions was accepted and understood and that the terms earmarked/non-earmarked were no longer used. In practice, however, the United Nations organizations use all of the above terms. In the present report the Inspector will refer to assessed contributions and to voluntary contributions, specified and non-specified.

16. Additionally, multiple terms are used to describe member States and other contributors of funds to the United Nations system organizations. While some organizations simply refer to them as donors, others prefer partners, to reflect a relationship that is not solely based on receiving funds. Yet others use terms such as financial contributors, resource partners and funding partners. The present report will refer to donors, and to funds received from them as contributions.

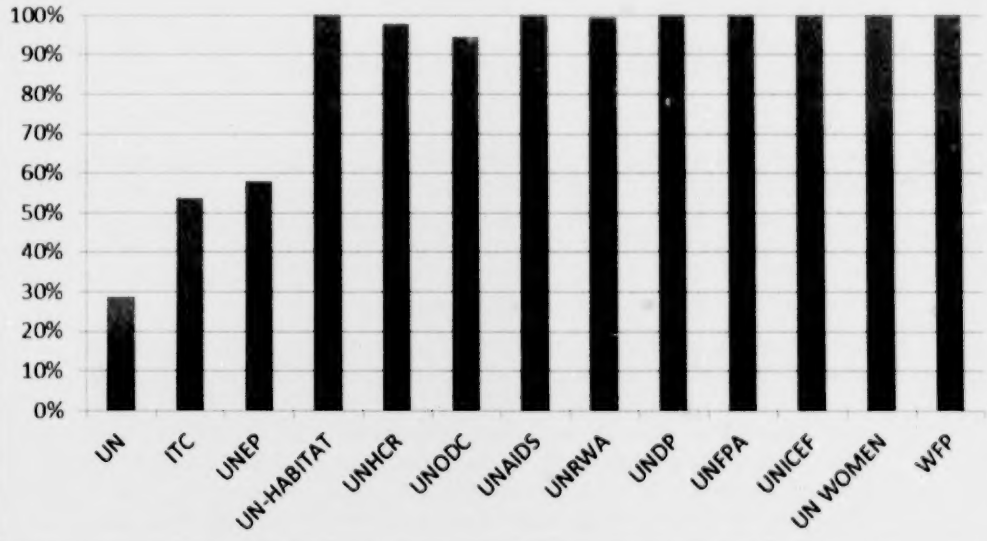
17. An analysis of resources of the JIU participating organizations for the three bienniums covered in the period 2006-2011 was performed on the basis of the data contained in A/65/187 and A/67/215 and the data obtained from the participating organizations. The three sources of revenue are: assessed contributions, voluntary contributions and other revenue. Other revenue, for most organizations, represents revenue recorded by the organizations that is not considered a contribution. Other revenue is significant for the United Nations Office for Project Services (UNOPS) and the World Intellectual Property Organization (WIPO). UNOPS receives no contributions; it is a self-financing entity that implements projects on behalf of its

[11] See OECD/DAC, "What do we know about multilateral aid?", p. 2.

partners. While WIPO has both assessed and voluntary contributions, the amounts are modest compared to the total revenue WIPO receives from registration fees (in 2010/11, registration fees and other income elements accounted for 91.1 per cent of total revenue, assessed contributions 5.9 per cent, and voluntary contributions 3 per cent).

18. The annual reports of the Organisation for Economic Co-operation and Development/Development Assistance Committee (OECD/DAC) provide copious data on all resources made available through multilateral channels over the years. However, the notes of the Secretary-General on the budgetary and financial situation furnish data pertaining to the organizations of the United Nations system. The total of voluntary contributions (specified/non-specified) amounted to $24 billion in both 2010 and 2011 and $15 billion and $17 billion in 2006 and 2007, respectively.[12] As indicated in tables 1 and 2, average voluntary contributions as a percentage of the total assessed and voluntary contributions for the years 2006-2011[13] are significant for most organizations.

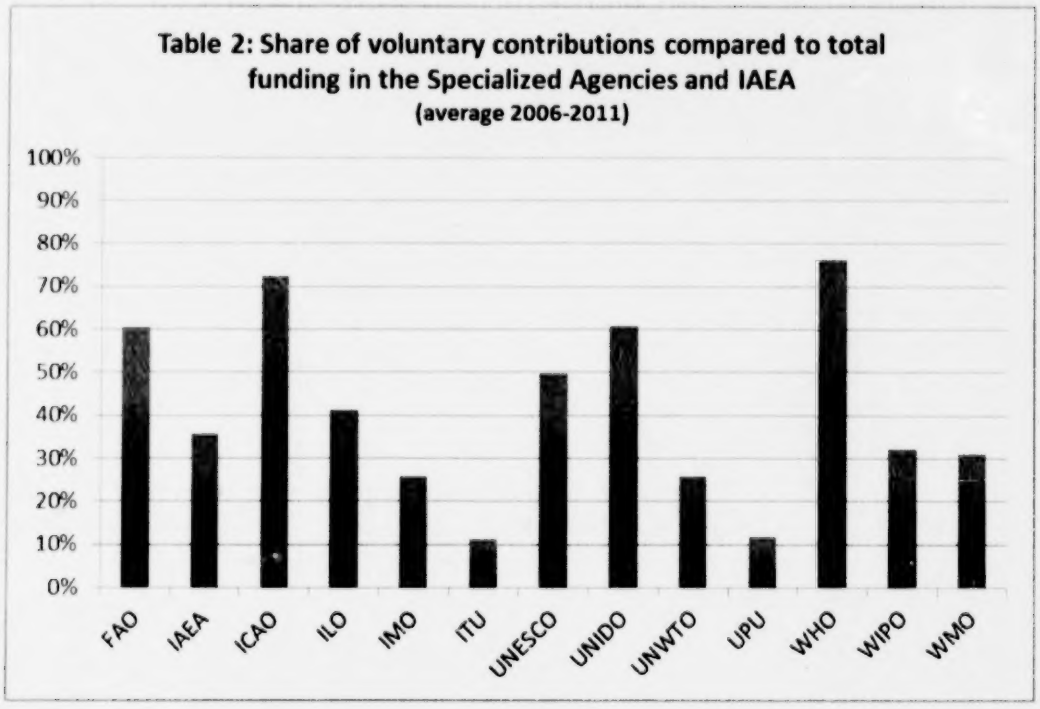
Table 1: Share of voluntary contributions compared to total funding in the United Nations and its Funds and Programmes (average 2006-2011)



Note: In the table, United Nations includes the United Nations Conference on Trade and Development.

[12] See A/65/187 and A/67/215.

[13] Other revenue not included.



19. With the exception of the United Nations Secretariat, the International Trade Centre (ITC) and the United Nations Environment Programme (UNEP), the funds and programmes rely on voluntary contributions. While the Office of the United Nations High Commissioner for Refugees (UNHCR) and the United Nations Office on Drugs and Crime (UNODC) receive assessed contributions, their proportion compared to voluntary contributions is insignificant.

20. Among specialized agencies, the Food and Agriculture Organization of the United Nations (FAO), the International Civil Aviation Organization (ICAO), UNIDO and the World Health Organization (WHO) receive more funds through voluntary contributions than through assessed contributions, while IAEA, the International Labour Organization (ILO), the International Maritime Organization (IMO), the United Nations Educational, Scientific and Cultural Organization (UNESCO), the World Tourism Organization (UNWTO) and the World Meteorological Organization (WMO) rely more on assessed contributions than on voluntary contributions. For the International Telecommunication Union (ITU) and the Universal Postal Union (UPU), average assessed contributions account for almost 90 per cent of the total assessed and voluntary contributions (not including other revenue).

21. Generally speaking, when specialized agencies as assessed organizations receive voluntary contributions, those tend to be specified. Since the majority of funds that the organizations receive come from member States, member States see their assessed contributions as non-specified funds and tend to specify their additional contributions. The funds and programmes, which are completely voluntarily funded, receive a certain portion of the contributions non-specified, in support of their core activities, and a certain portion specified for specific purposes.

A. Strategy/policy

22. Resource mobilization is related mainly to voluntary contributions, therefore, it has evolved more in the funds and programmes and operational entities that rely almost entirely or predominantly on voluntary contributions, compared to those dependent mainly or totally on assessed contributions, such as the United Nations Secretariat.

23. Having a strategy helps in avoiding sending different messages to donors. It helps to prevent in-house competition for resources, to avoid piecemeal efforts, to prioritize the need to enhance resource mobilization capacities and efforts at all levels of the entity and to create a sense of joint ownership and accountability, and leads to better-planned, up-front pipeline resources. Having a strategy helps in allocating resources where they are most needed, and ultimately leads to comprehensive programme delivery and broad impact.

24. Many entities have strategies and policies in place for resource mobilization. In some cases, these are approved only internally, at the level of the executive head or the deputy; in other cases, they are presented to the legislative organs for approval. In most cases, they are updated periodically. Even many of those entities that do not have strategies acknowledge the necessity of having them in order to effectively pursue resource mobilization.

25. Annex I provides an overview of current resource mobilization strategies. In most cases, resource mobilization is a mix of centralized and decentralized strategies with a strong emphasis on coordination from the headquarters: FAO, ILO, UNEP, UNHCR, the United Nations Relief and Works Agency for Palestine Refugees in the Near East (UNRWA), the United Nations Entity for Gender Equality and the Empowerment of Women (UN-Women), the Joint United Nations Programme on HIV/AIDS (UNAIDS), the United Nations Development Programme (UNDP), UNESCO, the United Nations Population Fund (UNFPA), the United Nations Children's Fund (UNICEF), the World Food Programme (WFP) and WHO all have an organization-wide strategy based on which regional and country offices develop their own strategies. Resource mobilization is centralized for global initiatives; there is a central coordination function, but there is a certain element of decentralization for regional and country levels. The coordination function also ensures the coherence of resource mobilization functions within the headquarters so that donors receive the same message from different parts of the same entity.

26. Organizations which do not have a formal, comprehensive strategy formulated are: the United Nations Secretariat, IAEA, ICAO, UNIDO and UNWTO, although most of them have policies and procedures for dealing with resource mobilization. ITC, ITU, the United Nations Conference on Trade and Development, IMO and UPU are developing resource mobilization strategies. WIPO is reviewing its 2011 draft strategy.

27. The United Nations Secretariat reported that it does not have an organization-wide resource mobilization strategy/policy and that departments and offices develop their own based on their respective mandates, operations and needs. Some components of the Secretariat have, for example, their own strategies for technical cooperation or thematic trust funds, but overall, resource mobilization remains ad hoc except in parts of the Secretariat which rely on voluntary contributions, such as the Office of the United Nations High Commissioner for Human Rights (OHCHR),

the Office for the Coordination of Humanitarian Affairs (OCHA), UNODC and the regional economic commissions.

28. External factors such as the state of the global economy, decisions of the capitals and the implications of politics influence resource mobilization. Internal factors such as the activities of the executive head, the board and the legislative body constitute an enabling environment for successful resource mobilization.

29. Executive heads of FAO, ILO, ITC, UNEP, the United Nations Settlements Programme (UN-Habitat), UNHCR, UNRWA, UN-Women, UNDP, UNESCO, UNFPA, UNICEF, UNIDO and WFP are actively involved in resource mobilization and are considered the chief mobilizers. All funds and programmes, which rely on voluntary contributions, consider their executive head to be the leader of the resource mobilization process. In addition to overseeing and safeguarding the implementation of the resource mobilization strategy, the executive head leads the public outreach of his or her organization and its external relations activities, nurtures relationships and creates momentum for negotiations at the executive level (with, among others, member States, other international organizations, private companies and foundations).

30. **In recommendation 6 of the JIU report on voluntary contributions (JIU/REP/2007/1), the legislative bodies of the United Nations system organizations were called upon to request their respective executive heads to develop a corporate resource mobilization strategy for the consideration and approval of the legislative bodies. The Inspector reiterates this recommendation and observes that not all organizations have yet implemented it. In addition, the Inspector encourages the organizations, as part of their annual reports, to brief member States on the implementation of their respective strategies.**

31. In most cases, the legislative organ seems to have only a passive role or interest in resource mobilization, as it seems content with receiving regular reports; rare are the cases (UNHCR, WHO) where the legislative organ or the decision-making body exercises effective oversight and provides political guidance to the resource mobilization function.

32. The implementation of the following recommendation is expected to enhance the transparency and accountability of resource mobilization.

Recommendation 1

The legislative bodies of the United Nations system organizations should periodically review the resource mobilization strategy/policy, including by providing political guidance and oversight of the implementation of the resource mobilization strategy/policy and by ensuring monitoring and the review of regular updates.

B. Mandate

33. A strong connection appears to exist between the core mandate of an organization and its ability to attract contributions, making it relatively easy for some and difficult for others to raise resources. A clearly identifiable and resonating

mandate makes the task of resource mobilization easier: people are more likely to feel a connection with, for example, children, as opposed to weather or shipping. It is the responsibility of an organization to create awareness and understanding of its mandate through activism, engagement of the executive head, and engagement with other partners. Organizations that are able to articulate their objectives well in a results-based strategic framework, demonstrate ways of measuring results achieved, package those results in ways attractive to donors, and deliver value for money, are able to attract significant resources.

34. UNHCR said that its mandate for refugees and statelessness is a major factor with respect to its ability to mobilize resources. Refugees are one of the most vulnerable groups in the world and that resonates with people. WFP sees a strong relationship between its mandate and its ability to raise funds. The mandate of WFP is its asset; a good number of its board members are its funding partners who direct the WFP mission. UNAIDS also sees a direct link between its mandate and its ability to mobilize resources. HIV/AIDS is a sensitive issue to talk about in some parts of the world.

35. UNFPA views its mandate as helpful from the resource mobilization point of view, because it is clear and narrow; however, it is not attractive to conservative societies. Making core contributions to UNFPA is sensitive because member States give a political signal through them. UN-Women is trying to find a way to help donors visualize its mandate, as people can relate to visual images; however it is hard to visualize women's empowerment and gender equality, because it is related to cultural and behavioural issues.

36. Convincing partners to invest in WMO and explaining the link between the WMO mandate, and the weather, and health, agriculture and disaster prevention, among other things, has been a challenge for the organization. However, today there is much more awareness of climate and weather issues.

37. In the experience of UNDP, advocating for the mandate is no longer enough; each organization has to be fit for the purpose. Delivering results is important, because this is what helps mobilize resources, but an organization has to be able to articulate its results in a way that donors understand in order to reach them.

C. Resource mobilization and partnerships

38. From the practices of most organizations that depend on voluntary contributions, the Inspector noticed a clearly discernible trend, namely, a shift from looking upon raising resources in purely transactional terms to engaging in more lasting relationships with donors as partners that require attentive nurturing through effective communication strategies.

39. UNICEF sees partnerships and resource mobilization as interlinked. UNICEF mobilizes resources for shared commitments, to maximize results, goals, accountability and visibility and minimize risks. When UNICEF establishes a relationship in the context of its work in the areas of children in armed conflict or education, its focus/priority is not on the personal relationship but rather on the issue. Moreover, it is not just individuals working in the resource mobilization offices of UNICEF who mobilize resources; everyone in the organization plays a part, because

all UNICEF staff, including the leadership, are involved through the delivery of results.

40. WFP reported that it is making efforts to increase the support that it receives from the private sector and non-traditional donors. Unlike with member States, where once the funds are received, the main concern is to spend them as agreed, with the private sector there is a continued risk of conflict of interest and that the activities of the company might conflict with the mandate of the organization. Therefore, the management of partnerships with the private sector is a perpetual work in progress. WFP believes that it is good at communicating in a crisis, but that it could improve in communicating its cause and asking the donor what it is that it requires. WFP identified UNICEF as the only agency that knows how to do this.

41. In the experience of UNDP, partnerships with emerging economies are resulting in contributions which are not always financial, but significant nonetheless. The Inspector concludes that resource mobilization cannot be addressed without the partnership agenda.

42. **The Inspector encourages the executive heads of the United Nations system organizations to put in place measures for strengthening partnerships with contributors so that resource mobilization is perceived as a continuous process of attentive nurturing of lasting relationships with partners through, inter alia, regular and effective communications, rather than purely fundraising activities.**

D. Predictability of funding

43. One of the major issues for organizations is ensuring the long-term availability of resources on a predictable basis so that they can plan and deliver their programmes. Early on in the research it became evident that the rise in specified contributions over the past two decades has been staggering. This is mostly attributed to the demands of the donors for greater visibility, accountability and transparency, as the donors seek to satisfy the demands of their own parliaments and taxpayers.

44. At the same time, from the point of view of the organizations, specified contributions, when they are not predictable on a long-term basis, pose a major challenge to the organizations' imperatives of long-term strategic planning, sustainability and prioritization. In a climate of uncertainty, these tend to suffer and could lead to fragmentation of mandates. As donors provide resources, their priorities may trump organizational or legislated priorities. It is recognized by many donors and most organizations that long-term predictable funding facilitates long-term planning and more efficient delivery of programmes.

45. The majority of organizations determine their resource mobilization targets based on their multi-year strategic plans. These are translated into work programmes and budgets, thus enabling their legislative bodies to see the link between the strategic priorities of the organization and the resources required to achieve them (FAO, ILO, ITC, UN-Habitat, UNAIDS, UNDP, UNESCO, UNFPA, UNHCR, UNICEF, UNODC, UNRWA, UN-Women, WFP, WHO, WMO).

46. For assessed organizations, assessed contributions provide some certainty in terms of the level of contributions an organization can expect to receive. Voluntary contributions fluctuate, and ensuring some level of predictability is necessary for planning and delivery of programmes and projects. The issue of non-specified (core)

and specified (non-core) funds for voluntarily funded organizations is not a question of proportionality, but of the quality of funding and an organization being able to maintain its independence by having a critical mass of resources. Without a certain critical mass of non-specified contributions, an organization cannot operate and fulfil its mandate efficiently.

47. Voluntarily funded organizations solicit their non-specified (core) resources through annual pledging conferences (Economic and Social Council), fundraising letters from executive heads to permanent missions/capitals, donor visits, consultations and formal communication. Targets for specified contributions are normally estimates of the needs of the country programmes, the total amounts of resources likely to be available based on the decisions of donors on the allocation of resources to specific themes and countries, and historical trends. The funds are solicited mostly through thematic meetings.

48. Specifying of funds makes it particularly difficult for organizations to operate. Their legislative bodies expect them to manage the resources, but this is an issue when the majority of funds are specified, while the priorities of the organization change. Organizations are left without any flexibility and one needs to be a skilled negotiator to keep the funds usable. The risk of having mostly specified contributions is that this can result in a fragmentation of priorities and legislated mandates based on donor priorities. One positive side of specifying is that it has brought organizations closer to their member States in discussions on substantive issues at a global level. In an effort to reduce the amount of specified funds, organizations are asking for so-called softly or broadly specified funds, which are provided for a theme, country or region, thus still allowing a certain flexibility in their use. Non-specified contributions allow for the funding of new emergencies and underresourced operations or forgotten crises for which no specific contributions are received.

49. Attempts were made to obtain a breakdown between voluntary contributions (specified) and voluntary contributions (non-specified) for 2006-2011; however, not all participating organizations could provide that data. Based on the data provided by FAO, UNESCO, UNIDO and WIPO among the specialized agencies, almost all voluntary contributions were specified. In ILO, only about 10 per cent of voluntary contributions are not specified. In funds and programmes, ITC, UNAIDS and UNHCR managed to reduce their specified contributions: ITC from 83 per cent in 2006 to 60 per cent in 2011, UNAIDS from 19 to 8 per cent, and UNHCR from 80 to 77 per cent. UNODC (88 to 96 per cent) and UNFPA (37 to 49 per cent) experienced an increase.

50. UNHCR reported that, upon a request from its Executive Committee, it started budgeting in accordance with the needs assessment rather than with what it expected it could receive. The UNHCR budget has more than doubled since that change, and although UNHCR acknowledges that part of the reason for the increase is an increase in emergencies, it expressed its belief that the direct involvement of the Executive Committee and executive head is the main reason. Additionally, UNHCR, UNICEF, UNRWA and WFP determine the targets through an analysis of historical trends, the political and economic situation of donor countries, trends in funding for comparator organizations and the humanitarian financing environment.

51. WHO has undertaken a major reform in recent years. Through a process led by member States, it has addressed fundamental questions about setting priorities. The changing role of WHO in global health governance and managerial reforms required

the organization to be more effective, efficient and accountable. The organization will continue to be financed from a mix of assessed and voluntary contributions for the foreseeable future. The World Health Assembly approves the entire budget, rather than just appropriating the portion based on assessed contributions. The composite programme budget will set the expected results and their funding needs and contribute in making resource mobilization more corporate and centrally coordinated. The era of donors coming with money and proposing a programme to be funded is being replaced with one in which donors fund the WHO programme budget document.

52. UNAIDS, as a joint programme, determines its resource mobilization targets based on the board-approved Unified Budget, Results and Accountability Framework, which determines how much each of the 11 co-sponsors receives. IMO and UPU do not have established targets; funding is sought against specific projects on a case-by-case basis.

53. In the experience of UNDP, UNHCR, UNICEF and WFP, enhancing long-term availability of resources on a predictable basis involves constant efforts to strengthen donor relations and reporting, broaden the donor base and improve field support to enhance resource mobilization throughout the organization. Engaging in consultations and dialogue and coordinating the participation of the organization in donor assessments, facilitating high-level visits of an entity's senior management to donor capitals, and creating and harmonizing external communication and advocacy tools and products were identified as desirable.

54. **The Inspector encourages the executive heads of the organizations to consider organizing structured dialogues with their respective donors on financing, with a view to improving predictability and to assist in long-term strategic planning, sustainability and prioritization.**

Member States' perspective

55. During the interviews with the representatives of the member States and through their responses to the questionnaire, it became clear that most member States base their funding decisions on their own assessments of the effectiveness of the organization, its core mandate, the leadership shown by the executive head, alignment with foreign policy priorities, its results-based management, the strategic plans, accountability and transparency of the organization, oversight, and related factors. The donors reported that there is a direct link between the results that organizations achieve and the types of funding that they receive.

56. The donors recognize that long-term predictable funding facilitates planning and more efficient programme delivery. While funding should be non-specified to the largest possible extent, the donors expect organizations to use core support strategically and responsibly in prioritized areas. The Inspector agrees with the donors who suggest that it could be useful to have "structured financing dialogues" with organizations in order to agree on a set of results to be achieved during the strategic plan period and on the level of financing required and ways of financing the agreed results. Another suggestion made was to convene a "technical seminar" to discuss the question of moving from hard or tight specifying to soft or broad specifying, bringing together resource mobilization units of the United Nations system organizations and key representatives of donor programmatic and audit units.

57. Many donors hold that further potential exists to ensure that resources, including those related to the regular budget, are spent in the most effective and efficient manner, and that concrete measures are needed at all levels to spend more wisely, to deliver in new ways and to basically achieve more with less. There is a concern related to the use of core resources to fund non-recovered overhead costs linked to specified contributions, and this might indeed be a disincentive to those making core contributions. An additional challenge for the United Nations organizations lies in demonstrating the value of policy and normative work; successful efforts in that direction could open prospects for increased core contributions.

58. Member States responding to the questionnaire maintained that while strengthening core resources was indeed a desirable goal, many factors worked to shift them towards non-core/specified contributions. Among those were: the need for visibility and attribution; pressure from parliaments, media and taxpayers for greater accountability; the inability of some of the United Nations organizations to audit and report on core funding in a satisfactory manner; increased scrutiny by budgetary, audit and parliamentary authorities; and growing concern regarding value for money and the results-based management of organizations and their expenditures. Specifying funds makes it easier to ensure that funds are aligned with the donors' own priorities. Some stated that a proven track record of effective programme delivery, urgent needs and strong enough reasons justifying the necessity could persuade them to move to soft specifying. This also requires the organization to have very strong internal processes and quality management.

59. Some of the member State donors interviewed have decentralized authority to either allocate resources locally and/or provide a recommendation to their capitals on allocation of resources. The criteria used for allocation and/or recommendation are the ability of the organization to deliver (performance and achievement of results), communication flow and relationship (personnel and manner in which an organization is working and dealing with the donor), the donor's own priorities and how they coincide with the work of an organization, time and financial risk (the risk profile of the United Nations being different from the risk profile of the host government).

60. **The Inspector encourages the executive heads of the United Nations system organizations which do not integrate resource mobilization into their strategic plans and programme budgets, including for determining targets for resource mobilization, to start doing so, with a view to improving efficiency and effectiveness.**

61. **The Inspector further encourages the United Nations system organizations to put in place measures for responding to the increasing requirements of the contributing States for transparency and accountability on the one hand, and identity, visibility and attribution on the other.**

62. The implementation of the following recommendation is expected to enhance the effectiveness of resource mobilization.

Recommendation 2

The General Assembly of the United Nations and the legislative bodies of the United Nations system organizations should request member States, when providing specified contributions, to make them predictable, long-term and in line with the core mandate and priorities of the organizations.

E. Diversification

63. Most entities continue to depend on a handful of donors for most of their resources; the results of efforts to diversify the donor base and reduce dependence on a few, as often called for by the General Assembly of the United Nations, the Economic and Social Council and most legislative organs, have been slow and limited. In UNFPA, 10 donors from OECD/DAC contribute more than 80 per cent of income; in UNHCR about 75 per cent of all funding comes from 10 government donors; in WHO, 14 donors provide non-specified core voluntary contributions. Many entities have, however, been making earnest efforts in that direction, including by fashioning new communication strategies and creating new, separate structures for dealing with non-traditional donors, especially non-State ones such as corporate entities, philanthropic foundations and high-net-worth individuals. Most of them recognize that expanding the donor base is critical, but that it is a very labour-intensive and long-term process.

64. Although organizations are engaging with philanthropic organizations, as well as with the private sector and civil society, and although new countries are emerging as donors (for example, the Gulf countries, the BRICS countries,[14] the Republic of Korea and Turkey), the donor base is still largely dominated by a relatively small number of member States.[15] The risk of losing funding is present in most organizations, and the recent experience of UNESCO provides a real-life example. The Inspector considers diversification to be critical for all organizations.

65. The diversification of resources is a specific goal and part of the strategy of FAO, UNAIDS, UNDP, UNESCO, UN-Habitat, UNHCR, UNFPA, UNICEF, UNODC, UNRWA, UN-Women, WFP and WHO. Also, UNAIDS, UNDP, UNFPA, UNHCR, UNICEF and UNRWA are some of the organizations which are reaching out to emerging economies and are improving or changing their engagement with the private sector. FAO, UNDP, UNESCO, UNICEF and UNODC work with multi-donor trust funds and/or multi-donor pooled accounts to expand their donor base. UNDP also engages in cost-sharing activities with private/philanthropic partners and, along with FAO, UNESCO and UNICEF, is encouraged by the growing opportunities to engage in South-South cooperation; and WFP has "twinning" mechanisms, whereby under certain conditions one donor provides food or other in-kind contributions and another donor covers the costs associated with accepting that contribution in order to bring the food to the beneficiaries. UNHCR has a $20 million dollar club; similarly

[14] Brazil, Russian Federation, India, China and South Africa.

[15] The tables in annex III list the top 10 member State donors for the JIU participating organizations in each of the years from 2006 to 2011; viewed cumulatively, the list of top 10 donors for the period as a whole includes no non-traditional donors.

UN-Women encourage their donors to grow into "double-digit" contributions. The strategy of UNICEF on expanding the donor base on the public sector side is that every country should be a donor and a beneficiary; all contributions are valued in the same way.

66. On the private sector side, UNICEF plans to focus on the markets with the highest growth potential and the most cost-effective income streams, which for them, as well as for UNHCR, is individual giving. Both organizations reported an increase in individual giving during the current economic crisis, when contributions from the affected governments declined. An efficiency review carried out by UNICEF concluded that the private sector income from cards and products declined to less than 5 per cent compared to 80 per cent 20 years ago. The review recommended transitioning out of the in-house business of UNICEF to a more cost-effective licensing and local sourcing model through the National Committees. By contrast, the same review showed that more should be invested in country-office fundraising in the emerging markets in Asia and Latin America.

67. From the list of some non-traditional donors reported by the organizations, it is evident that a donor can be considered traditional by one organization and non-traditional by another. The BRICS countries, Bulgaria, Egypt, Estonia, the European Union and its institutions, Honduras, Hungary, Israel, Kazakhstan, Malaysia, Montenegro, Norway, Pakistan, the Republic of Korea, the Russian Federation, Slovakia, Slovenia and Turkey figure among non-traditional donors. A large number of philanthropic organizations have emerged in recent years as entities contributing funds to the United Nations system organizations.

68. **The Inspector encourages the United Nations system organizations to include in their resource mobilization strategies specific measures to widen the donor base and diversify sources of financing with a view to improving predictability.**

F. Structure

69. Resources have to be spent in order to raise resources. As more and more organizations are competing for a limited amount of funds, the strategies and resource mobilization structures of organizations become more important. A number of entities, but not all, have dedicated structures in place for resource mobilization with a clearly defined hierarchy and delineation of roles and responsibilities, especially for managing and nurturing long-term relationships with the funding partners.[16]

70. Organizations which have large portions of their revenue coming from voluntary contributions have separate structures for dealing with private sector corporates, foundations and individuals as they realize that the skills needed for those donors are different from those required for the member States. Organizations however reported that significantly more work is required to raise resources from the private sector; it consumes more time and resources as compared to dealings with member States. While some member States request customized reporting, dealings with the private sector require due diligence, development of a longer-term relationship and reporting on the use of funds.

[16] See annexes I and II for an overview of the structures, staffing and resources dedicated to resource mobilization of selected organizations.

71. As evident from annex II, UNEP, UNFPA, UNHCR, UNICEF, UNRWA, ILO and UNAIDS invested in their resource mobilization efforts in the period 2006-2011 both in terms of staff and resources. FAO invested mainly in staff, and ITU, UNWTO and WMO established new offices. UNHCR, UNICEF and WFP have separate structures for dealing with member States and with the private sector. UNHCR and WFP dedicate more staff to dealings with member States, however, unlike WFP, UNHCR dedicates significantly more resources to dealing with the private sector. UNICEF dedicates significantly more staff and resources to the private sector.

72. In many organizations (FAO, UNDP, UNESCO, UN-Habitat, UNHCR, UNFPA, UNICEF, UN-WOMEN, WFP), resource mobilization is not the sole responsibility of any one individual; rather, it is a shared responsibility and a corporate approach is applied. WFP and FAO are just two examples of organizations which shifted part of their fundraising efforts to country offices, as the donors have been decentralizing their decision-making to the field. Country offices can enter into agreements locally; however, the agreements are supposed to be vetted by headquarters. Presence in the field is regarded as the major WFP asset in terms of resource mobilization. The headquarters functions as the back office, providing support to country offices. In the experience of WFP, the back-end service is very important: if an organization provides good back-end customer support, it can receive more money; if it does not provide such support, it can lose money.

73. It would have been interesting to find out how much it costs to raise resources; however, most entities have not felt the need to focus on the amount of resources spent on resource mobilization. They also point out the methodological difficulties of undertaking such a task, given that, while their activities are coordinated from the dedicated resource mobilization office, they are decentralized across the organization. In many cases, however, organizations furnished estimates of financial resources and staff devoted to resource mobilization.[17]

74. The implementation of the following recommendation is expected to enhance the efficiency of resource mobilization.

Recommendation 3

The executive heads of the United Nations system organizations should put in place clearly identifiable structures and arrangements, as applicable, with primary responsibility for resource mobilization, for the systematic implementation and coordination of the resource mobilization strategy/policy, monitoring and regular updates.

[17] See annex II for an overview of staffing and resources dedicated to resource mobilization in selected organizations.

G. Professional development: tools, guidelines, manuals and training

75. Successful resource mobilization requires experience and skill. The Inspector came across two schools of thought: some think that resource mobilization skills can be acquired on the job, while others believe that the United Nations system could use a fundraising school. Overall, the need for specialized training for resource mobilization is gaining recognition. Apart from such training for resource mobilization specialists, most organizations recognize that every staff member is in some way involved in resource mobilization and should therefore receive some training in the subject.

76. Training for resource mobilization specialists is limited and not structured. There is an informal network in New York among UNDP, UNFPA, UNICEF and UN-Women where individuals exchange information, ideas, experiences and lessons learned. Organizations which provide organization-wide support mostly do so through online toolkits and/or webinars (FAO, ILO, UNDP, UNESCO, UNFPA, UN-Women). Training for groups of staff is provided, usually in regional offices, by ILO, UNAIDS, UNESCO, UNHCR and WHO. Some organizations train their staff on mobilizing resources from European Union institutions.

77. **The Inspector encourages the executive heads of the United Nations system organizations to put in place measures for professional skills development and training for resource mobilization, for personnel both at their respective headquarters and in the field offices. The United Nations System Staff College in Turin could help in this regard by developing and running appropriate training modules.**

H. Illustrative examples

78. A snapshot of the resource mobilization function in four selected United Nations system organizations is provided for illustration in the box below.

UNHCR: Representatives and staff in field operations have a resource mobilization responsibility. The Donor Relations and Resource Mobilization Service (DRRM) and the Private Sector Fundraising Service (PSFR) report to the Director of the Division for External Relations, who reports to the Deputy High Commissioner. DRRM deals with government donors and United Nations pooled funds, multi-partner trust funds, etc. DRRM Brussels was established as a dedicated unit for mobilizing resources from the European Union institutions. DRRM Brussels reports to the Director of the Regional Bureau for Europe. The PSFR unit raises funds from individuals, corporations and foundations and supports fundraising operations in 20 countries in Asia, the Americas, Europe and the Middle East. UNHCR invested in private sector fundraising to create a sustainable income base. The PSFR unit is divided into two pools: face-to-face fundraising and corporations/high-net-worth individuals. The unit pays attention to donor care in order to increase donor understanding, loyalty to the UNHCR cause and commitments to predictable (for example monthly) donations. The share of private sector income has been growing (5.8 per cent of total income in 2012). UNHCR is aspiring to the UNICEF benchmark of $1 invested in individual giving, $4 returned - currently, UNHCR is at $1 invested, $2 returned. Face-to-face

fundraising, although it is high cost, is predictable and non-specified (60 per cent of the private sector funds come from face-to-face fundraising). The rest of private sector fundraising is unpredictable. It is relatively easy to identify high-net-worth individuals, however, they request visibility and have demanding after-service requirements; all their funds are specified. Commitments from major foundations are not obligations.

UNHCR	2006-2007	2008-2009	2010-2011
Total number of resource mobilization staff	42-45	37-38	31-46
Total budgetary resources, not including staff costs	$23,914,933	$45,340,634	$94,633,443
Total voluntary contributions	$2,348,533,115	$3,313,741,961	$3,952,107,000

UNICEF: The Public Sector Alliances and Resource Mobilization Office (PARMO) deals with governments, intergovernmental organizations, inter-organizational arrangements and international financial institutions, while the Private Fundraising and Partnerships Division (PFP) deals with National Committees, foundations and non-governmental organizations. The directors of PARMO and the PFP Division report to the Deputy Executive Director, external relations and partnerships. Country offices, regional offices and headquarters divisions also undertake their own fundraising efforts, with support from PARMO and the PFP Division. Country offices develop resource mobilization strategies for securing approved specified resources in support of their country programme and non-specified resources for the organization. Regional and country offices deal with both public and private sector donors. The Director of the PFP Division reports to the Executive Board twice a year: first in February for the approval of its work plan and targets for the year and the amount of funding that will be invested, and then in September, with accomplishments and, if targets are not met, the expenditures for that year to be reduced (in 2013, the approved expense/proceeds ratio was 14 per cent; the new target is to reduce it to below 10 per cent). For every $1 invested in private sector fundraising, on average $4 is received back. Most of the net regular resources revenue from the private sector is derived from individual giving; such revenue increased from $374 million in 2011 to $457 million in 2013. Revenue trends promise an increase in income from private giving in the coming years. In the period 2014-2017, UNICEF and its National Committees will focus global resources on the markets with the highest growth potential and on the most cost-effective income streams: (a) individual monthly "pledge" giving and legacies and (b) partnerships with corporations and global foundations. The former is based on starting with restricted income and, through stewardship over the years, turning those contributions into unrestricted income; 35 per cent of emergency givers contacted via direct mail in France for Haiti became monthly givers, and the $76 million portfolio of legacy (bequest) donations raised by the National Committees is predicted to grow to $200 million. Partnerships with corporations and global foundations yield about $290 million. Although a UNICEF analysis shows that corporate giving will not increase as much as individual giving, non-financial engagement, that is, changing the behaviour of corporations so that they conduct responsible and child-friendly business, is as important as fundraising.

UNICEF	2006-2007	2008-2009	2010-2011
Total number of resource mobilization staff	285	290	285
Total budgetary resources, not including staff cost	$167 million	$187 million	$201 million
Total voluntary contributions	$3,631,695,771	$4,495,625,731	$6,537,629,000

WFP: The Partnership and Governance Services Department in headquarters is headed by an Assistant Secretary-General. Within the department is a division responsible for government partnerships, another for private partnerships and a third for the Executive Board membership. Embedded within the Government Partnerships Division is a dedicated team for supporting country-level resource mobilization. The Partnerships and Governance Services Department also has out-posted liaison offices in Belgium, China, France, Germany, Japan, the Republic of Korea, Spain, the United Arab Emirates and the United States of America. Every Country and Regional Director is directly engaged in resource mobilization for operational needs at the field level. There are donor relations officers and focal points in almost all WFP offices who report to Country and/or Regional Directors. It is difficult to quantify how much is spent on mobilizing funds: there are multiple departments; country directors' time and the support they receive would have to be included, as well as reporting on and monitoring the use of resources, etc. However, there is potential to raise more resources even with the existing number of staff.

WFP	2006-2007	2008-2009	2010-2011
Total number of resource mobilization staff	As at 31 January 2013: 146		
Total budgetary resources, not including staff cost	$27.4 million	$21.4 million	$24.5 million
Total voluntary contributions	$5,588,273,000	$9,493,800,000	$7,863,295,000

FAO: Within the Technical Cooperation Department, the Emergency and Rehabilitation Division is responsible for all activities in a humanitarian crisis situation, the South-South Cooperation and Resource Mobilization Division is leading the implementation of the corporate resource mobilization strategy, and the Technical Cooperation Unit deals with the Technical Cooperation Programme of FAO and draws its funds from assessed contributions. The Office for Communications, Partnership and Advocacy (OCP) deals with the private sector, civil society, academic and research institutions and cooperatives and producer organizations. The Technical Cooperation Department acts in collaboration with the Office of Strategy, Planning and Resources Management. All resources used to be managed centrally. Under the new model, there is a centralized structure for overall coordination and harmonization of the resource mobilization effort, but a strongly decentralized structure for implementation at the regional/country level through a set of subsidiary strategies. This shift was made in response to donors decentralizing their decision-making to the field. Headquarters provides support, clears all legal agreements with donors, and delegates authority to the country director to sign the agreements. FAO has two priorities: (a) to diversify the donor base, which will alleviate the risk of fragmenting the priorities of the organization;

(b) to persuade donors to move away from earmarking. The attempts to move towards softly earmarked funding are providing results slowly (5-10 per cent so far); however, even when donors agree to softly earmark funds, they subsequently make many ad hoc requests, which move the funds back towards being tightly earmarked.

FAO	2006-2007	2008-2009	2010-2011
Total number of resource mobilization staff	2.25	3	14
Total budgetary resources, not including staff cost	$728,270	$863,567	$841,649
Total voluntary contributions	$1,051,613,000	$1,443,847,000	$1,790,453,000

III. Risk management

79. When the United Nations was created, the only source of funds was its Member States. The actors are more diverse today: NGOs, the private sector, private foundations and, recently, through the communications revolution, individual citizens. The United Nations is adjusting to this reality and realizes that the system has to work with donors that are not member States.[18] Due diligence is generally understood as care that a reasonable person or an organization should undertake before entering into an agreement with another party. As the reputational risk to the organization is high, the due diligence process is critical in making a decision on with whom to engage, including the need for guarding against the potential for back-door entry. The experience of entities such as ITU, UNAIDS, UNDP, UNFPA, UNHCR, UNICEF, WHO and WFP in undertaking due diligence processes is relevant.

80. Most organizations reported having risk management policies by which they seek to manage reputational risk. In many organizations, the due diligence process is performed by the same individuals who are fundraising from the entities subject to due diligence. In the Inspector's opinion, this represents a conflict of interest. Organizations can deal with this by designating separate units which perform due diligence with the involvement of one or more other departments, for example, legal or finance.

81. UNAIDS, UNDP, UNFPA, UNICEF and UNHCR reported that they use acceptance and exclusion criteria for the performance of due diligence (no arms, no tobacco, no pornography and child exploitation, no alcohol and food, no gambling). Although all agencies collaborate with others through the high-level participation group on Global Compact, it was reported by UNDP, UNFPA and UNICEF that there is interest in broadening the concept of due diligence to the wider United Nations family. **The Inspector agrees, and urges the executive heads of the United Nations system organizations to explore ways to streamline the performance of common due diligence steps so that those steps are not repeated separately by each entity.**

[18] For example, in WHO, any contributor of more than $1 million will be included in the financing dialogue, which for WHO means that foundations will also take part.

82. UNICEF reviews its entire portfolio once a year and every individual partnership when it is new and upon renewal. The level of screening UNHCR performs depends on the amount of the contribution; those over $100,000 are reviewed by a corporate committee chaired by the High Commissioner. Similarly, WFP has a senior committee chaired by the Deputy Executive Director and FAO has an internal committee, which perform due diligence with the involvement of their legal departments.

83. UNHCR treats individuals the same way it treats corporations. In sensitive cases, other agencies are consulted. For the private sector, UNAIDS uses a private company to look for any infringement of human rights. UNAIDS avoids engagement with pharmaceutical companies related to HIV/AIDS to avoid their publicizing the relationship, while WHO does engage with pharmaceutical companies provided that there are appropriate safeguards and firewalls, for example, in-kind contributions of medicines. ITU is in a different situation because of its membership structure, which includes private sector members. Those private sector members pay a fee, which varies on the type of membership. Therefore, due diligence in ITU is done from a legal point of view, vetting corporation agreements, not from an ethical point of view.

84. The donors are responsible to their constituencies, who are asking for more accountability and transparency. The donors thus have increasingly less tolerance for misappropriation of assets and want to work with organizations that can measure their performance and deliver what they promised. Organizations have been putting in place internal controls, investing in fraud prevention and introducing policies of zero tolerance for fraud; however, no organization, much like no government or institution, can say that it has zero risk of fraud, either in its own organization or with its implementing partners.

85. The organizations of the United Nations system feel that they carry 100 per cent of the risk when work is conducted in conflict/emergency situations. Additionally, the donors used to accept the risk materializing with the implementing partner, but now these kinds of risks are transferred to the United Nations organizations. Thus, the organizations are introducing standard clauses in the agreements with the implementing partners to transfer the risk to them.

86. The issue of requests for reimbursement from the donors due to losses from fraud was raised in interviews. The United Nations system organizations do not generate revenue. If an organization is requested to reimburse one donor, their options are to use the funds provided by another donor or to use core resources; however, all donors are against cross-subsidizing non-core activities with core resources. Therefore, a donor that earmarks only 10 per cent of its funds is potentially subsidizing a donor that earmarks 90 per cent of its funds ("good" donors subsidizing "bad" donors).

87. Risk-sharing does not only pertain to the reimbursement of funds in the case of fraud. The organizations reported that they learned through experience that donors do not like surprises: they want up-front information, and they place great importance on communication. The Inspector encountered a concern where an organization received half of the promised funding and a commitment for the second half of a large contribution for a natural disaster situation. However, when due to a flood the goods had to be used differently, the donor did not appreciate the emergency circumstances, did not like that it was not immediately consulted, and declined to make the second

payment. The donor was a non-traditional donor with whom the organization did not have a long-term relationship. The shortfall had to be made up from core resources.

88. **The Inspector points to the need for organizations to evolve robust procedures for risk management, including financial wrongdoing, and to ensure that risk-sharing arrangements are in place with both donors and implementing partners.**

89. The oversight bodies, both internal and external, have been playing an important role. In addition to making observations and recommendations on the need for putting in place a strategy, policy and structures with a view to improving management oversight, they have been active in alerting organizations to increased risks associated with recent developments and practices in the field of resource mobilization and stressing the need to mitigate them. **The Inspector encourages the executive heads of the United Nations system organizations to pay greater attention to the recommendations of oversight bodies with regard to resource mobilization, especially the need to deal effectively with increased risks associated with emerging trends, developments and practices in the area.**

Member States' perspective

90. Donors consulted agree that an entity that accepts funds has to have the skills, resources and capabilities to professionally and effectively manage the implementation of the activities for which it receives the funds. They expect organizations to have in place security and financial systems and processes to keep resources and staff safe and to account for the use of funds, and disciplinary processes for staff suspected of misconduct, wrongdoing and irregularities.

91. Most donors consulted agree that there are additional risks and costs to working in insecure environments; that risk management is a joint responsibility of all development partners (programme countries, agencies and donors); and that there is no development cooperation without some risk-taking. Some have supported the reforms for better cost classification and recovery to absorb additional costs for security and to reduce cross-subsidization from core funding. Many advocate strengthening the arrangements for the sharing of information on identified risks and mitigation strategies, including through the use of risk information platforms and the creation of common standards for assessments and information-sharing.

92. Most donors consulted follow a policy of zero tolerance on losses and the pursuit of full recovery of misappropriated funds; they recognize that inefficiencies will happen, but fraud and corruption are unacceptable. They expect the organizations to similarly pursue zero tolerance and full recovery of misappropriated funds. They attach great importance to early and systematic information-sharing. Donors would also like organizations to adopt strong international fiduciary and legal standards, ensure their implementation and application, and put in place internal control mechanisms, including those relating to oversight, to prevent misappropriation and fraud.

93. The implementation of the following recommendation is expected to enhance the effectiveness of resource mobilization.

Recommendation 4

The executive heads of the United Nations system organizations should put in place, if they have not already done so, risk management and due diligence processes for resource mobilization; this should include, inter alia, ensuring that due diligence is not performed by the same individuals responsible for fundraising.

IV. Restrictions and demands imposed by donors

94. The majority of the member State donors interviewed indicated that they do not place special reporting requirements on the organizations. However, a majority of the organizations find the special reporting requirements imposed by donors to be a major burden. Member State donors are required by their constituencies to justify their spending and show results; thus, in turn, they demand more accountability and better and more frequent reporting. Donor-specific reporting is expensive; it requires staff, time, and sometimes manual gathering of data if an organization's enterprise resource planning system does not produce financial reports which provide the required information. There are higher transaction costs, which donors would like organizations to absorb, but the latter would like to pass on at least part of those costs to the donors. The Inspector is concerned that if every donor has a different reporting template, the focus of the organization becomes complying with the templates, but not necessarily more meaningful reporting.

95. Negotiating a partnership agreement with a funding partner for the contribution, including the legal, reporting, audit and other aspects, is a complex exercise in itself; tailoring the agreement to the requirements of individual donors makes the task even more demanding. The challenge of devising a standard template for reporting to donors, which seeks to accommodate most of the donor requirements but that, at the same time, can be flexible enough to be adapted by different entities and to the varying requirements of individual donors, is a daunting one.

96. The organizations explained to the Inspector that the capacity of the programme countries to provide detailed reporting on the use of funds does not always match the requirements of the donors. Additionally, the field locations of the organizations are not always staffed with individuals qualified to write reports. Most organizations have had to improve the quality and timeliness of reporting to donors: FAO employs professional writers to write reports; UNFPA introduced the Donor Agreement and Report Tracking System to track its submissions, but country offices have the delegated authority to prepare and submit reports to donors; ILO has a centralized tracking system for donor reporting to ensure that field offices and technical units submit reports to donors in a timely fashion and to agreed standards.

97. UNICEF, UNHCR and WFP believe that strengthening accountability and reporting can help in moving away from specified funds and, in this respect, a good enterprise resource planning system is crucial. UNHCR learned from some reporting requirements and was motivated to improve and reinforce its reporting function. WFP launched a donor survey to find out how its reports are used and how they could be improved. It will map the requirements and present to the donors what can be

incorporated in its standard reports and at what cost. The end result will be an improved information management and reporting system.

98. Reviews by some major donors have served as wake-up calls for many organizations, encouraging them to undertake serious introspection, notwithstanding that such reviews may have been conducted from the perspective of donor priorities rather than organizational or intergovernmentally agreed priorities. Most organizations have utilized the reviews to improve their procedures and practices and have made efforts to achieve greater efficiency and effectiveness.

99. However, the Inspector agrees with the view of the United Nations system organizations that while they are pushed to harmonize their practices, their donor member States cannot harmonize the practices at their end. The Multilateral Organisation Performance Assessment Network (MOPAN) is a network of 18 donor countries with a common interest in assessing the organizational effectiveness of the major multilateral organizations they fund.[19] MOPAN members have agreed to: carry out joint assessments, share information and draw on each other's experience in monitoring and evaluation. However, many of these donors perform their own evaluations. Organizations subjected to scrutiny which is in addition to the established oversight arrangements agreed to by their member States bear a heavy burden. A four-pillar review was performed by the European Commission,[20] and now the Department for International Development of the United Kingdom of Great Britain and Northern Ireland, the Norwegian Agency for Development Cooperation and others are introducing review processes, which are also very similar to those of MOPAN. The lessons learned from one review are not taken into account by others; everyone wants to be satisfied separately. It seems that the validation of a particular assessment is not accepted by the whole donor community. A common system of reporting with a format that would meet the expectations of donors and encompass the critical requirements of content, periodicity and end-use of funds needs to be pursued in order to minimize administrative burden and reduce transaction costs.

Member States' perspective

100. The donors accept the annual reports of organizations with respect to their core contributions; however, reporting requirements for specified contributions cannot be waived. In that regard, most donors stated that they accept the United Nations organizations' own format for reporting, but they strongly emphasize the importance of the quality of reports and their timely availability. The Inspector finds it significant that certain donors recognize donor-specific reporting requirements as one of the major reasons for low efficiency in the United Nations organizations, representing an additional cost and a heavy burden, particularly for small field offices with limited capacity, and argue that they should be kept to a minimum and coordinated with other donors to arrive at common expectations. One donor explained that due to its own staff reductions, both in the capital and in missions, it is looking for ways to simplify reporting requests, because it needs capacity to analyse the information provided to it.

[19] MOPAN members are: Australia, Austria, Belgium, Canada, Denmark, Finland, France, Germany, Ireland, Luxembourg, the Netherlands, Norway, the Republic of Korea, Spain, Sweden, Switzerland, the United Kingdom of Great Britain and Northern Ireland, and the United States of America.

[20] The European Commission ensures that the international organization applies in its accounting, audit, control and procurement procedures standards which offer guarantees equivalent to internationally accepted standards.

101. The request for more and more information is the order of the day; everyone needs to learn to live with that and equip themselves to provide information on demand and in the right format. It is important for the United Nations organizations to make an effort to respond quickly to requests for information. At the same time, if some requests are not realistic, it is reasonable for the organizations to decline, or request additional funding in order to satisfy the request. To minimize the administrative burden and reduce transaction costs, a common, standardized or harmonized system of reporting could be pursued, as long as a format could be found that would meet the expectations of donors and encompass all the critical requirements in terms of content, periodicity, end-use of funds, due diligence processes and so on.

102. Most donors maintained that they support coherence and synergies within the United Nations system and are supporters of common evaluation mechanisms, such as MOPAN; yet, the reality is that a number of donors conduct their own assessments of the performance of the organizations based on which they make their funding decisions. All donors uphold the single audit principle, with qualifications: that a reliable and credible oversight body performs audits; that there is clarity and transparency of findings; and that audit reports are shared with donors. Donors want to strengthen the internal and external controls of the organizations and their governing bodies. Some donors also suggest unifying and combining the core and non-core budgets into a single budget for the organization and ensuring full accountability to and evaluation by the Board. Organizations that have begun making their oversight reports available to the donors remarked that they have noticed fewer questions from the donors since they started doing so; being more transparent may disarm donors.

103. The implementation of the following recommendation is expected to enhance the efficiency of resource mobilization.

Recommendation 5

The executive heads of the United Nations system organizations should organize dialogues with their respective donors to agree upon common reporting requirements which would simplify the reporting process for the respective organizations and satisfy the information needs of the donors with a view to reducing the reporting burden and associated costs.

V. Coordination

104. Organizations without a resource mobilization strategy and/or a dedicated function to coordinate implementation of the strategy are potentially at risk of investing a lot in uncoordinated interaction with donors without perhaps getting much in return. Even organizations which have an established strategy/policy and function had to create guidelines in order to define the division of labour and set procedures in place for the approval of new initiatives in order to prevent freelance behaviour. Most organizations have a focal point system set up to ensure that different parts of the organization do not speak to the same donor with different messages, and guidelines on which donors can be addressed at the local versus the headquarters level.

105. Most donors have a mixed model, where a significant amount of their contribution is centrally decided and controlled and the rest is decentralized to the field. Thus, entities have been resorting to greater resource mobilization at the field level. This raises the cost to the organization because there is a need to capacitate and empower field offices at the country and regional level. Since fundraising ability has become an essential competency for the field, there is a need for more professional training of field personnel in resource mobilization, including training specific to "Delivering as one" countries, in recognition of their context.

106. For some, competition among organizations seems to be more of a concern in theory than in practice. Others consider it a reality and perhaps healthy, something which forces everyone to see their added value, be more focused and show their efficiencies.

107. The Inspector was interested in studying the role of the resident coordinator in resource mobilization for United Nations country teams. To this end he interviewed representatives of organizations in their headquarters offices, conducted a survey of resident coordinators, and, as a case study, interviewed the country team and representatives of member State donors in Mozambique. Some organizations are of the view that there may be a conflict of interest and no functional firewall between the roles of resident coordinator and resident representative of UNDP. They see the terms of reference of resident coordinators loaded with so much that if such a person existed, (s)he would be superhuman. While an element of coordination needs to exist, the organizations feel that not all resident coordinators can be subject matter specialists on all topics and represent all organizations equally. Furthermore, resident coordinators are expected to be fundraisers, a role which does not come naturally to everyone, so there is no guaranteed performance; however, that can be addressed through training. Resident coordinators are requested to coordinate, but they cannot force the units to produce, so as top fundraiser a resident coordinator does not have the authority to promise results to donors.

108. The survey of resident coordinators was conducted in conjunction with the survey undertaken for the JIU review "Selection and appointment process for United Nations Resident Coordinators, including preparation, training and support provided for their work" (JIU/REP/2013/3). Out of 126 resident coordinators who were invited to respond to the survey, 77 completed the part related to the review on resource mobilization.

109. In the opinion of 80.6 per cent of resident coordinators, when performing their duties in practice, the fact that they are both the UNDP resident representative and the United Nations resident coordinator does not conflict with their resource mobilization efforts for the country teams; 76.6 per cent feel entrusted by the country teams to undertake resource mobilization on their behalf.[21] Although 87 per cent of resident coordinators indicate that they have the necessary skills to mobilize resources for the country teams, only 48.1 per cent agree that they do not need special training for resource mobilization in order to fulfil their duties.

110. The following significant impediments and challenges with regard to resource mobilization efforts for the country teams were stated by the resident coordinators in the survey:

[21] The Inspector notes that 54 resident coordinators worked for UNDP prior to becoming a resident coordinator.

- Donor behaviour: a change in the financial situation of the donors/global economic crisis; reduced interest in and resources for certain countries; reduced number of donors in a country; change in donor priorities; reluctance of donors to contribute to multi-partner trust funds and preference for bilateral relationships; earmarking of funds
- Competition among United Nations organizations: no clear delineation of mandates; dependence on the Resident Coordinator's Office to distribute unearmarked funds "fairly"; lack of direction from the headquarters of individual agencies for joint resource mobilization in country teams and the fact that country representatives are not accountable for joint resource mobilization; lack of flexibility on the part of representatives of the United Nations agencies; preference for bilateral relationships; lack of information-sharing among agencies and between agencies and the resident coordinator; individuals approaching the highest levels of the host government or key donors thus closing the door for others
- Harmonization of processes and procedures: different overhead fee amounts and structure; absence of a United Nations Development Assistance Framework (UNDAF), joint programmes and/or a joint resource mobilization strategy; different resource management arrangements in different agencies
- Conflict of interest: the need to mobilize non-core resources for UNDP versus for UNDAF; a perception that UNDP prefers resident coordinators/resident representatives to mobilize resources for UNDP; the resident coordinator's role of arbitrator can be seen to be compromised if the decision is in favour of UNDP, even if the evidence supports such a decision
- Capacity: a lack of skilled inter-agency staff and of professional support to the resident coordinators for resource mobilization purposes; lack of central information systems to provide evidence of performance.

Mozambique case study

Mozambique was chosen because it is a "Delivering as one" country; therefore, coordination in resource mobilization should exist both among agencies and donors. It is a country where resource mobilization challenges exist as it is not a post-conflict or humanitarian crisis area and it is not a middle-income country.

There are 22 agencies delivering programmes under the UNDAF for Mozambique, which comprises three pillars and eight outcomes. A United Nations Management Plan is an operational plan for UNDAF implementation; it includes a resource mobilization strategy. The common budgetary framework is a tool which shows on an annual basis the required versus available resources for each activity under the UNDAF. The total financial resources required for implementing the UNDAF action plan for 2012-2015 were estimated to be $722 million. From the delivery rate perspective ($120 million in 2009 to $140 million in 2011), the action plan is more ambitious than what agencies would be able to deliver.

Underpinning the UNDAF is the development results group with co-conveners representing two different organizations in charge of the overall delivery of each pillar and responsible for maintaining resource mobilization contacts and exploring opportunities. The resident coordinator leads the proactive part and the development results group leads the reactive part. The One UN Fund allows donors to support UNDAF outcomes through multi-year non-specified or softly specified funding. The behaviour of donors has shifted from pooled harmonization to direct programmatic funding. The United Nations country team decided that as long as it is coherent in its implementation and there is a common effort, it does not matter which way the funding comes in.

The individuals in the country team have the difficult task of satisfying dual expectations: the need to project performance to both the country team and their headquarters. Each agency in Mozambique sees itself as a part of the "One United Nations" initiative, but in headquarters, the units are very specifically agency units. For example, everyone in the country team agrees that the common budgetary framework is a useful tool, as it points out where the gaps in resources are. However, there is a lack of synergy between the tools and the programmatic and budget cycles of agencies. The terminology used is not the same; the concern is that the data populated in the common budgetary framework is not comparable (that is, what is core for one agency might not be for another, or one agency includes salaries of staff while another might not). **The Inspector strongly feels that this issue can only be addressed at the CEB level and that resolving it will enhance the effectiveness of the framework as a tool for joint programming, resource mobilization and monitoring of implementation of the United Nations Development Assistance Plan.**

There are differences in what headquarters of agencies are expecting their country offices to do, and in what country offices in a "Delivering as one" environment can do based on the agreed code of conduct. The code of conduct agreed by the country team is very much appreciated as it provides clarity regarding what everyone should be doing. All agencies feel supported by the resident coordinator in their resource mobilization efforts. Although there is no real competition for resources, there is a sentiment that "small" agencies tend to get neglected by the "big" ones. Small country offices are challenged with not having enough resources to stretch themselves to be included in all activities. The "big" agencies pointed out the need for the "small" ones to focus on their strengths and partner with "big" agencies. In their view, focusing on many activities with few resources will yield no results.

The emerging non-traditional donors in Mozambique are the BRICS countries, mainly in the framework of South-South cooperation, as well as Turkey, China and the Republic of Korea. Regarding diversification through the private sector (mainly the extractive industries), the country team prepared a policy paper in which it decided to protect its position as a neutral partner and not to get involved, except in advising extractive industry companies in how to spend their money. The country team also realized that, for many agencies, handling corporate partnerships is centrally determined by their headquarters and heavily regulated, and concluded that this was not a space where they could easily coordinate locally.

Member States' perspective

111. The Inspector encountered a concern among member State donors about the overlapping of mandates of some agencies, and agencies undertaking similar types of activities with no evidence of coordination among them. Donors also emphasize that any overlap should not undermine delivery on the ground. Where there is overlap, donors tend to gravitate towards the organizations with comparative advantage in the specific sector. They highlight the need to focus attention on the specificities of the organization. Some stated that they would base their funding decisions on the accountability reviews conducted by major donors (for example, the multilateral aid review by the Department for International Development of the United Kingdom) and independent agencies, such as MOPAN, following quality, effectiveness and efficiency criteria.

112. The donors further stated that any reform of the United Nations development system should endeavour to eliminate "mandate creep" among organizations and strengthen the "Delivering as one" effort. The governing bodies of organizations have a responsibility to avoid overlap between different organizations and to advocate a clear division of responsibilities and collaboration in cases where organizations have similar mandates. Donors noted that the QCPR process can play a useful role in that respect. In the Inspector's opinion, the United Nations Development Group (UNDG) appears to be best placed to undertake an exercise to clarify the mandates and areas of operation among agencies, including a more accurate mapping of agency competencies and service line capabilities.

113. **The Inspector encourages the executive heads of the United Nations system organizations to take steps to identify and strengthen procedures and practices for effective coordination of resource mobilization practices within and among the organizations.**

VI. Lessons learned and good practices

114. Recognizing that there is no magic bullet in resource mobilization, the Inspector was interested in lessons learned and good practices employed by different organizations. No organization formally analyses and collects lessons learned; entities that have been able to attract significant resources have communicated the following lessons learned and good practices:

- Realize the importance of resource mobilization in an environment of competition, increasing demands and shrinking resources;
- Have a good mission statement and articulate well the strategic objectives; it is the responsibility of the organization to create awareness and understanding of its mandate through activism, engagement of the executive head and engagement with other partners;
- Constantly explore, identify and pursue opportunities; executive heads must lead from the front, not leave resource mobilization solely to the resource mobilization teams; research where the decisions are made and deal with that level in the donor's organizational structure; reach out to and cultivate relationships with actual decision-makers and influencers;

- Maintain the relationship with the donor; stewardship is key; keeping the relationship personal and at a high level is equally important;
- Disaggregate the term "donor" in the case of member States (different ministries, departments and technical units) and understand the factors affecting their behaviour and conduct regarding resource mobilization (auditors, lobbies, lobbyists, aid efficiency agenda, pressures from parliamentarians, civil society, NGOs, media, the "CNN" effect, social media activism, etc.);
- Adjust the jargon and products developed for government donors to messages intelligible to the outside world when dealing with non-government donors; make them accessible and convey the messages of the organization in a meaningful way;
- Recognize that donors insist on greater transparency and accountability, efficiency and effectiveness in the use of resources, and at the same time, they want visibility, identity and attribution for themselves;
- Recognize that more demands on reporting and greater restrictions on the use of resources are the order of the day; collecting and organizing information and data in such a way as to be able to respond promptly to such demands is key;
- Demonstrate performance first, market the organization later: performance, efficiency and effectiveness are key; donors seek out organizations with a proven track record;
- Improve the way results are measured and reported on; an organization may have good results, but if it cannot articulate them in a way that donors understand them, its message will not reach the donors;
- Learn how to market the organization; show that the organization is a good investment, provides value for money, does good work and achieves this through delivery, accountability, increased oversight, increased operations in the field, and a decrease in headquarter costs;
- Deliver timely and up-front information; donors do not want surprises; hearing about a suspicion or an allegation from the organization first is preferable to learning it from the media or any other third party.

115. **The Inspector encourages participating organizations to organize communities of practice or similar forums or informal networks in which resource mobilization specialists can share their lessons learned and good practices and policies that yield the most desired results.**

VII. Effect of the global economic crisis

116. Given the timing of the study, the Inspector had a keen interest in the effects the ongoing global economic crisis has had on resource mobilization. UNDP reported that it had expected the effects of the crisis, but not the prolongation of it in Europe, where its main donors are located. Traditional donors have been cutting funding faster than non-traditional donors have been increasing it. WFP looks at the crisis as a period of lost opportunity. Its funding has remained stable for the past five years, but it is higher than it was in the previous five-year period; therefore, the loss is in unquantifiable opportunities it might have had.

117. The initial economic crisis helped FAO in drawing attention to food security, but now it can feel a delayed impact of the crisis. Of its resources, 50 per cent are received for dealing with emergencies, and there are spikes depending on the emergencies that happen in any given year. The Inspector noted that responses to emergencies have demonstrated the ability of major donors to rapidly mobilize and set aside considerable amounts for emergencies, year after year.

118. UNICEF expressed its view that the crisis has not affected it so much in terms of resources, but it expects that donors will become even more demanding in terms of the results they want to see, because donors' funds are becoming scarcer. However, from its perspective, being able to show results is something that each organization should have been prepared for.

119. WHO experienced a difficult 2010-2011 biennium, when the actual resources were significantly less than the budget. Subsequently, the situation has improved; however, there were still a number of key WHO donors who, because of the crisis in their own economies, could not provide what they initially thought they would.

120. In the Inspector's opinion, the main effect of the global economic crisis from the perspective of donors appears to have been an even greater focus on performance in the implementation of programmes and management of operations of each organization, including determining whether staff and other costs are being used effectively and efficiently. This is a result of greater scrutiny and, in some cases, a reduction of aid budgets, and the increased emphasis being placed on accountability, transparency and aid effectiveness in their own countries.

VIII. The way forward

121. The implications for resource mobilization of the way in which programme support costs are computed, administered and utilized need to be studied further. The importance of the issue can be seen from General Assembly resolution 67/226. The emphasis is on full cost recovery and the determination of real administrative costs, including the basis for the calculation, the need to avoid the problem of free-riding and cross-subsidization, and exploring the range of available options, including the possibility that part of the administrative and support costs could be absorbed by the project.

122. The increase in voluntary funding also leads to an increase in staffing which, in turn, increases the long-term contingent liabilities for the organization arising from staff costs, such as accumulated leave, health insurance and pension contributions. In the Inspector's opinion, this aspect is not often addressed sufficiently in discussions on resource mobilization.

123. Negotiations on the post-2015 development agenda and the formulation of "sustainable development goals" are, in the Inspector's opinion, likely to have a positive effect on energizing resource mobilization. The commitment by many traditional donors to achieve the target of 0.7 per cent of gross national income for official development assistance by 2015 (General Assembly resolution 67/226, para. 30) is also likely to have a positive impact on resource mobilization.

124. The rapid evolution in corporate social responsibility policies and practices is opening up possibilities for increasing contributions from the private sector. Additionally, the challenges and opportunities of digital fundraising and fundraising in the digital age remain to be explored (for example, television advertisements, the use of social networking sites and the websites of the organizations themselves: "Donate Now").

Annex I

Resource mobilization strategy/policy and structure

Organization	*Existence of strategy policy document*	*Scope of strategy policy*	*Structure*
FAO	The Resource Mobilization and Management Strategy (RMMS) was approved by the FAO Council in 2011, at its 143rd session. The strategy will be updated in the 2014-2015 biennium during the implementation of the Reviewed Strategic Framework.	There is an organization-wide strategy; regional and country offices are developing their own strategies guided by the corporate strategy (RMMS). Resource mobilization is centralized for global initiatives, but decentralized for regional and country levels. In the FAO Reviewed Strategic Framework, the RMMS is implemented under functional objective 8 on outreach, which covers partnerships, including with the private sector and civil society organizations; South-South cooperation; and capacity development and communication.	The Technical Cooperation Department has responsibility for resource mobilization for the organization. Within the Department, the Emergency and Rehabilitation Division is responsible for all activities in humanitarian crisis situations, the South-South Cooperation and Resource Mobilization Division is leading the implementation of the corporate resource mobilization strategy, and the Technical Cooperation Unit deals with the Technical Cooperation Programme and draws its funds from assessed contributions. The Office for Communications, Partnership and Advocacy (OCP) deals with the private sector, civil society, academic and research institutions and cooperatives and producer organizations. The Technical Cooperation Department acts in collaboration with the Office of Strategy, Planning and Resources Management.
IAEA	IAEA has no strategy, but has policy and guidelines, which have not been updated. The framework for the initiation and management of IAEA partnerships with individuals and organizations other than member States and intergovernmental organizations, as well as for the mobilization of resources in general, is set out in two documents: (a) the Partnership and Resource Mobilization Policy; and (b) the Partnership and Resource Mobilization Guidelines, both approved by the Director General on 24 June 2009. The Policy and the Guidelines focus on partnerships and extrabudgetary voluntary contributions in cash and in kind.	In the policy, it is envisaged that the coordination and support role for the resource mobilization activities will be carried out by a Partnership and Resource Mobilization Coordinator reporting to the Deputy Director General for Management. In addition, managers in the divisions and departments were identified as the main drivers of the operational resource mobilization activities in the Agency. They were to coordinate their work and share information with the Partnership and Resource Mobilization Coordinator, who was envisaged to lead the preparation of a comprehensive resource mobilization strategy. As of April 2013, no one has been hired for the Partnership and Resource Mobilization Coordinator position and a unified strategy has not been identified. The resource mobilization efforts continue to be implemented through the managers in the divisions and departments.	

Organization	*Existence of strategy policy document*	*Scope of strategy policy*	*Structure*
ICAO	ICAO does not have an approved resource mobilization strategy/policy.	Extrabudgetary resources in the field of aviation safety, security and environmental protection have been solicited through State letters, President or Secretary General memoranda and working papers (Committees, Council, Assembly). Individual agreements/grants are negotiated with States and/or organizations.	
ILO	The ILO Strategic Policy Framework 2010-15: Making Decent Work Happen, contains guidelines on resource mobilization, and the Technical Cooperation Strategy contains the resource mobilization strategy. The respective texts were adopted by the Governing Body of ILO in 2009. A new Technical Cooperation Strategy will be presented to the Governing Body in October 2014. The strategy/policy has been updated through the regional perspectives on technical cooperation: African region, adopted by the Governing Body in March 2012, and Asia and Pacific, adopted by the Governing Body in March 2013.	Regional offices have developed resource mobilization strategies based on the ILO Strategic Policy Framework and the Technical Cooperation Strategy. Specific resource targets and strategies are developed for each ILO global outcome. Additionally, there are policies and procedures relating to: • Public-private partnerships (see the Director-General's announcement of 14 July 2009, IGDS Number 81 (Version 1) and the Office Procedure of 14 July 2009, IGDS Number 83 (Version 1)). • South-South and triangular cooperation (the South-South and Triangular Cooperation Strategy was approved by the Governing Body of ILO in 2012).	Resource mobilization is a shared responsibility, with a central coordination function carried out by a unit for donor and partner relations in the Partnerships and Field Support Department. Regional offices have officers with the same responsibilities for their regions. Field office directors and managers of large technical programmes have resource mobilization as part of their job description. The structures for dealing with governments, the private sector, foundations/civil society, among others, are combined, but within them, teams of people specialize in different categories of donors.
IMO	A new strategy is being developed. A strategy for technical cooperation activities under the Integrated Technical Cooperation Programme was approved in 2007.	The Integrated Technical Cooperation Programme resource mobilization is centralized at headquarters level, but involves member States and NGOs in the resource mobilization process.	It is anticipated that new resource mobilization functions will be attributed once the resource mobilization strategy is adopted.
ITC	A resource mobilization strategy and internal fundraising policy will soon be submitted for senior management approval.	Window 1 agreements (unspecified and soft-specified) are managed by External Relations; fundraising and reporting activities for specific projects and programmes (Window 2) are carried out at the division or section level.	Resource mobilization is the responsibility of the Executive Director, the Deputy Executive Director and the Head of Strategic Planning. The External Relations Officer is in charge of designing and implementing the strategy. There are no field offices or separate structures for dealing with governments, the private sector, etc. There is a project-driven approach to donor solicitation. There is no separate budget line for resource mobilization; for the past three bienniums, one P-4 and one GS staff worked on it part-time.

Organization	*Existence of strategy policy document*	*Scope of strategy policy*	*Structure*
ITU	Draft strategy.	The strategy is formulated by the General Secretariat based on the needs of and recommendations from the three ITU sectors (standardization, radio communication and development).	ITU established a new unit in 2012 with one P-4 Head of Resource Mobilization, who facilitates the resource mobilization activities of ITU. The structure is centralized. There is a unit for sector members; the member States are under the lead of the Strategic Planning and Membership Department (SPM). The Head of Resource Mobilization reports to the Head, Communications and Partnership Promotion Division of SPM.
United Nations Secretariat	No organization-wide strategy.		
UNCTAD	Resource mobilization strategy is under discussion.		The Technical Cooperation Service is responsible for the negotiations of voluntary contributions that are annually provided to UNCTAD as a whole. All other voluntary contributions are directly discussed between the divisions of the secretariat and individual donors, with limited involvement of the Technical Cooperation Service. Three positions (D-1, P-5, P-3) are partially dedicated to resource mobilization.
UNEP	Yes; approved by the UNEP Senior Management Team in August 2009; no updates since approval.	There is an organization-wide strategy for corporate-level resource mobilization, which is developed by the Donor Partnerships and Contributions Section in the Office for Operations; UNEP subprogrammes and regional offices have their own strategies based on the organization-wide strategy. The Donor Partnerships and Contributions Section leads the UNEP interface with donors for resource mobilization in collaboration with the Executive Office, divisions and regional offices.	
UNODC	The UNODC Fundraising Strategy 2012-2015 was presented to member States in 2012.		

Organization	*Existence of strategy policy document*	*Scope of strategy policy*	*Structure*
UN-Habitat	The Medium-term Strategic and Institutional Plan (2008-2013), adopted by member States in 2007 at the twenty-first session of the Governing Council, called for the development of a resource mobilization strategy. In 2013 the new Resource Mobilization Strategy was approved by the Senior Management Board and endorsed by the Committee of Permanent Representatives of UN-Habitat. An action plan has been developed.	The new Resource Mobilization Strategy envisages a decentralized fundraising model. It is structured and coordinated in a transparent way in conformity with corporate priorities.	The mobilization of non-specified contributions is led by the Executive Office; heads of branches and directors of regional offices lead resource mobilization in technical cooperation. Liaison offices play an important role in supporting branches and regional offices in their resource mobilization activities towards major donors (Brussels, Geneva and New York). The Resource Mobilization Unit (established in 2008, reports to the Head of the Project Office) provides support to non-specified and specified fundraising. There is no separate structure for dealing with governments and other donors in raising funds for technical cooperation. Total resources for the 2010-2011 biennium amounted to $288,063 (not including staff cost). The Donor Relations and Resource Mobilization Service provides coordination, support and guidance to project managers at headquarters and regional or country offices, in the fundraising efforts of the organization, and provides an interface with major donors for resource mobilization in collaboration with the Executive Office, divisions and liaison and regional offices.
UNHCR	UNHCR strategy/policy documents include the Fund Raising Strategy (2010) and the Field Guide on Fund-Raising (2010). The private sector fundraising strategy focuses on strengthening the private sector fundraising infrastructure, increasing the sophistication and diversity of individual giving programmes, and achieving a greater number of multi-year cash contributions from corporations, foundations and high-net-worth individuals. The Donor Relations and Resource Mobilization Service (DRRM) developed the UNHCR work plan for fundraising 2011-2015 (the 2011-2015 strategy), which was discussed with the Director of the Division for External Relations, regional bureau directors and senior management. A summary version was presented to Executive Committee members. The 2011-2015 strategy includes (a) high-level advocacy in traditional donor countries,	UNHCR has adopted a corporate approach to fundraising: representatives and other relevant staff in field operations have a responsibility vis-à-vis fundraising. There is an organization-wide strategy; regional and country offices have their own strategies based on the organization-wide strategy. One element of the strategy is providing additional training, support and guidance to regional and country offices to improve their capabilities to raise locally accessible funds. The Humanitarian Financing and Field Support Section of DRRM, together with DRRM Brussels and the Private Sector Fundraising Service (PSFR), organize several regional training workshops on field-based fundraising. These encourage and often form the basis for the development of country or regional fundraising strategies.	DRRM and the PSFR Service fall under the Division for External Relations, reporting to the Director of the Division, who reports to the Deputy High Commissioner. DRRM deals with government donors and United Nations pooled funds, multi-partner trust funds, etc. In recognition of the importance and complexity of the European Union institutions as donors, DRRM Brussels was established as a dedicated unit for mobilizing resources from all European Union institutions. DRRM Brussels reports to the Director of the Regional Bureau for Europe. The PSFR unit raises funds from individuals, corporations and foundations. The unit supports fundraising operations in 20 countries in Asia, the Americas, Europe and the Middle East through a network of national associations and professionals in offices in London,

Organization	*Existence of strategy policy document*	*Scope of strategy policy*	*Structure*
	(b) region-specific action plans for new and emerging donors, (c) additional training, support and guidance for regional and country offices to improve their capabilities to raise locally accessible funds, (d) accessing transition and development funding lines and (e) increasing funding from the private sector. Building on these five pillars, there is a need to (a) strengthen the communications and management capacity of UNHCR, (b) reinforce its infrastructure (systems, tools and human resources), enhancing advocacy in key donor capitals, and (c) increase its network and support to the field on fundraising. Elements of the strategy are continuously fine-tuned, such as individual government donor strategies (2013), the Joint Resource Mobilization Strategy 2012-2014 for the Transitional Solutions Initiative and the European Union strategy.		Geneva, Bangkok, Rome and Washington, D.C.
UNRWA	The strategy for 2012-2015, which was approved by the UNRWA Advisory Commission in 2011, is premised on three objectives: (a) to deepen the partnerships with traditional donors; (b) to diversify the donor base (by reaching out to emerging markets, new non-traditional donors, Arab partners and private sources, including foundations, corporations and individuals); and (c) to improve cross-Agency capacity to mobilize resources. The annual resource mobilization/fundraising goals are regularly revised and adjusted according to the financial needs of the Agency.	There is an organization-wide strategy; resource mobilization is centralized at the headquarters level. Country offices support the strategy while utilizing opportunities. Due to the centralized resource mobilization structure of the Agency, the five fields of operation of UNRWA rely primarily on the External Relations and Communications Department (ERCD) to raise the required resources.	ERCD at the headquarters in Jerusalem has the overall responsibility for the implementation of the Agency-wide resource mobilization strategy. There is a specific Donor Relations Division within ERCD which is led by the Chief of Donor Relations, who reports directly to the department director. The Donor Relations Division manages the majority of the donor portfolios, in particular those of the traditional donors and the large emerging markets. The Partnerships Unit is responsible for raising funds from private sources, including foundations, corporations, international NGOs and individuals. The Arab Partners Unit in Amman oversees the fundraising in the Arab world. ERCD relies on the representative offices in New York, Washington, D.C. and Brussels for lobbying and for resource mobilization.

Organization	*Existence of strategy policy document*	*Scope of strategy policy*	*Structure*
UN-Women	The strategy was approved by the Executive Director in 2012.	There is an organization-wide strategy; regional and country offices have their own strategies based on the organization-wide strategy, but tailored to their context and needs.	The Resource Mobilization Branch, a section under the Strategic Partnership Division, is headed by a Director and a Deputy. The Director oversees the non-specified fundraising in addition to managing the section, while the Deputy oversees the specified fundraising efforts. There are three subsections: donor relations with member States; donor reporting; and private sector and foundations. UN-Women has two liaison offices: Brussels and Copenhagen. There is a dedicated person working on supporting the 17 UN-Women National Committees. A resource mobilization focal point network has been established to support decentralized responsibility for resource mobilization.
UNAIDS	The Resource Mobilization Strategy 2011-2013 was approved by the Executive Cabinet in 2011. The Resource Mobilization Division reports annually to senior management on progress in strategy implementation. The Resource Mobilization Strategy was updated for 2014-2015 in line with the new biennium's Unified Budget, Results and Accountability Framework, which was submitted to the UNAIDS Programme Coordinating Board in 2013.	There is an organization-wide strategy, and resource mobilization is centralized at headquarters level; however, the Resource Mobilization Division supports regional and country offices with resource mobilization efforts and strategies in the field.	The Resource Mobilization Division has two teams: one dealing with traditional donors (governments) and the other focusing on the private sector/foundations/innovative financing/new donors. The Resource Mobilization Division is part of the Office of the Executive Director.
UNDP	The Integrated Resource Mobilization Strategy is a part of the External Relations and Advocacy Framework of UNDP. The Framework articulates a direction for relationship-building, taking into account the changing development architecture and multilateral environment. The Integrated Resource Mobilization Strategy was approved by the UNDP Executive Group in 2012 and is currently under review with a view to alignment with the new Strategic Plan.	Resource mobilization is not the sole responsibility of any one individual; a corporate approach is applied, coordinated and supported centrally, with field application. UNDP provides guidance and principles for managing partnerships to ensure that the approaches of global, regional, and country programmes are in line with the strategic plan. Country offices, in collaboration with the Bureau of External Relations and Advocacy and regional bureaux can prepare tailored resource mobilization strategies to assist with the implementation of programmes, themes or geographic focus.	The Bureau of External Relations and Advocacy coordinates external relations, leads on partner relationships and advocacy, including with other member States, United Nations agencies, the private sector/foundations, regional banks and other partners, as well as on the organization's relationship with the Executive Board, and also leads the external communications functions. The Director of the Resource Partnerships Cluster and the Director of the Multilateral Affairs and UN Coherence Cluster report to the Assistant Secretary-General/Director of the Bureau of External Relations and Advocacy.

Organization	*Existence of strategy policy document*	*Scope of strategy policy*	*Structure*
UNESCO	UNESCO has the Extrabudgetary Resource Mobilization Strategic Plan (approved by the Executive Board); the Complementary Additional Programme, which contains quantitative targets for resource mobilization; and the Comprehensive Partnership Strategy. The Policy Framework for Strategic Partnerships: A Comprehensive Partnership Strategy (see UNESCO documents 190 EX/21, Part II and 190 EX/INF.7) was presented to the Executive Board in 2012. The Board welcomed the strategy, and requested that three additional categories of partners be included, as well as targets and expected results for each category. The strategies for the three additional categories of partner were submitted to the Board in 2013.	There is an organization-wide strategy; regional and country offices have their own strategies based on the organization-wide strategy.	Within the Bureau of Strategic Planning, the Division of Cooperation with Extrabudgetary Funding Sources (BSP/CFS) is responsible for the overall coordination of the resource mobilization strategy. BSP/CFS has two sections: the Section for Bilateral Government Funding Sources (BSP/CFS/BLT) and the Section for Multilateral and Private Funding Sources (BSP/CFS/MLT) (private sector, foundations, development banks and the European Union). The Assistant Director-General for Strategic Planning is acting Director of BSP/CFS and reports to the Director-General. Programme sectors, field offices and institutes are guided and supervised by the Director-General and the programme sector assistant directors-general, and are responsible for the programming, implementation and monitoring of extrabudgetary programmes and projects. The Programme sectors, field offices and institutes are authorized to mobilize extrabudgetary resources for approved outlines in the Complementary Additional Programme in consultation with BSP/CFS. For extrabudgetary projects generated in the field, the director of an institute or director or head of a field office may sign funding agreements after receiving authorization from the Director of BSP/CFS.
UNFPA	The Resource Mobilization Strategy of UNFPA, approved by the Executive Committee in 2009, is aligned with the Strategic Plan, which was approved by the Executive Board for 2008-2011 and extended to 2013. The strategy was updated in 2012 with an enhanced focus on partnerships, particularly with emerging donors (from among the BRICS countries and the private sector) and with regard to funding from joint programmes.	This is an organization-wide strategy; regional and country offices have their own strategies based on the organization-wide strategy.	The Resource Mobilization Branch is housed in the Information and External Relations Division. The Branch leads organization-wide resource mobilization efforts and initiation of private-sector engagement at the global level. UNFPA country offices have decentralized authority on matters related to country programme implementation and resource mobilization. They assess the needs of the country programmes and undertake donor mapping for possible specified contributions. They have the authority to sign the standard agreements; any deviation from the standard has to be cleared by the headquarters.

Organization	*Existence of strategy policy document*	*Scope of strategy policy*	*Structure*
UNICEF	Strategy and policy documents include the following: • Executive directive on fundraising (CF/EXD/2003-013), approved by the Executive Director in 2003 • Medium-term strategic plan 2006-2009 (E/ICEF/2005/11), approved by the Executive Board in 2005 • Strategic framework for partnerships and collaborative relationships (E/ICEF/2009/10), approved by the Executive Board in 2009 • Mobilizing Public-Sector Resources in a Changing Environment: UNICEF Strategy and Action Plan 2011-2012, approved by the Director of the Public Sector Alliances and Resource Mobilization Office (PARMO), in 2011 • Private Fundraising and Partnerships Strategic Plan, 2011-2013, approved by UNICEF Director, Private Fundraising and Partnerships Division (PFP), in 2011 • Mobilizing Regular Resources: A Strategy for Growth, approved by the Director of PARMO, and the Director of PFP, in 2012 • The UNICEF medium-term strategic plan was updated and extended to 2011 and 2013. A report on the implementation of the strategic framework for partnerships and collaborative relationships was presented to the Executive Board in September 2012. The Global Resource Mobilization Strategy will be updated in 2014.	All documents are organization-wide in scope. Two headquarters divisions are responsible for coordination, PARMO and PFP. UNICEF country offices, regional offices and headquarters divisions, particularly the Programme Division, also undertake their own fundraising efforts, with PARMO and PFP support. Country offices develop comprehensive resource mobilization strategies for securing approved other resources (specified) in support of their country programme and, in some cases, regular resources (non-specified) for the organization. Just over 20 of those country offices have formalized strategies for private sector fundraising in addition to traditional government fundraising. Other headquarters units also have important roles to play in supporting UNICEF resource mobilization.	PARMO deals with governments, intergovernmental organizations, inter-organizational arrangements, Global Programme Partnerships and international financial institutions. PFP deals with National Committees, business and private foundations, the general public and non-govern.mental organizations. The directors of PARMO and PFP report to the Deputy Executive Director, External Relations and Partnerships.

Organization	*Existence of strategy policy document*	*Scope of strategy policy*	*Structure*
UNIDO	A separate explicit strategy document has not been prepared. There are legislative documents and guidelines (such as technical cooperation guidelines and funds mobilization guidelines). The existing regular reporting to governing bodies normally also has considerable content related to resource mobilization strategy.	The resource mobilization and coordinating function is centrally managed by the Strategic Planning, Donor Partnerships and Quality Assurance Branch at headquarters, ensuring that the approach and guidelines of the organization are executed in a coherent manner. Decentralized responsibility for resource mobilization lies with country offices and technical offices, although agreements are finalized at headquarters. Partnerships at the country level are central to the approach to resource mobilization.	The Donor Partnership and UNDG Coordination Unit reports to the Director, Strategic Planning, Donor Partnerships and Quality Assurance. Resource mobilization efforts are coordinated by three different organizational entities: the Global Environment Facility (1 P-5, 1 P-2); the Montreal Protocol on Substances that Deplete the Ozone Layer (1 branch, which is also implementing Montreal Protocol projects); and the Donor Partnership and UNDG Coordination Unit (1 P-4, 1 P-3; manages all other donors, including government, private sector, European Union institutions and international financial institutions, among others). In 2013, the Business Partnerships Group and the Policy on Business Partnerships were established for collaboration with private sector entities. The liaison office in Brussels coordinates with the European Union.
UNOPS	UNOPS is a self-financing entity which implements projects on behalf of its partners and does not have core funding. Thus UNOPS does not perform resource mobilization activities.	UNOPS operates on the principle of full cost recovery, therefore all project-related costs, direct and indirect, are recovered in accordance with the approved and regularly updated Client Pricing Policy.	
UNWTO	No. In 2010, the new Secretary-General created the Institutional and Corporate Relations Programme with the mandate of resources mobilization.	N/A	The Institutional and Corporate Relations Programme is responsible for developing partnerships and alliances, cooperating with United Nations institutions and other international and regional organizations, and devising and implementing a resource mobilization strategy. The Institutional and Corporate Relations Programme reports to the Executive Director for Competitiveness, External Relations and Partnerships.
UPU	No; the resource mobilization activity was launched in 2009. Discussions were led by the Management Board to establish guidelines: • The UPU resource mobilization efforts are project-based.	Resources are divided into three categories: the regular budget; contributions from the sale of products/services; and other extrabudgetary contributions. The third category includes the funds raised through the resource mobilization efforts but is not limited to such funds. Those	Resource mobilization activities with funding agencies are coordinated by the resource mobilization unit: one staff member at the P-3 level, half of whose time is allocated to resource mobilization and half to project management, including reporting to donors on

Organization	*Existence of strategy policy document*	*Scope of strategy policy*	*Structure*
	• The resource mobilization efforts are not specifically geared at obtaining funds for the UPU International Bureau. Activities leading to the allocation of funds directly to member countries are also a priority. The International Bureau is planning to propose a strategy for resource mobilization for approval by the Council of Administration.	contributions are usually tied to specific projects/activities.	projects they are funding. The position is placed in the Executive Office and reports to the head of that office. The resources available to the position in 2008-2009 were $5,000 and in 2010-2011, $10,000. Resource mobilization activities with member countries are led directly by each directorate/programme for its own activities, in coordination with the Development Cooperation Directorate. As UPU has a very limited presence in the field (six regional offices worldwide with only one UPU staff in each), no resource mobilization activities are led by field offices.
WFP	The resource mobilization strategy is based on the WFP strategic objectives and its strategic results framework, which is updated every four years. Relevant strategy/policy documents include: • For government partnerships, "Resourcing for a changing environment" (WFP/EB.1/2010/5-B/Rev.1) • For private sector partnerships, the WFP Private Sector Partnership and Fundraising Strategy (see WFP/EB.1/2008/5-B/1). A new strategy for the private sector for 2013-2017 was approved by the Board in 2013. A corporate resource mobilization strategy for sustainable partnerships for investment in the new strategic plan for the period 2014-2017 is being drafted for approval by the Board in 2014.	WFP has an organization-wide resource mobilization strategy on which regional and country offices base their own resource mobilization strategies.	There is a Partnership and Governance Services Department in headquarters, headed by an Assistant Secretary-General. Within the department is a division responsible for government partnerships, another for private sector partnerships and a third for the Executive Board membership. Division directors (D-2) report to the Assistant Secretary-General for the department who reports to the Executive Director. Embedded within the Government Partnerships Division is a dedicated team for supporting country-level resource mobilization. The Partnership and Governance Services Department also has out-posted liaison offices in Belgium, China, France, Germany, Japan, the Republic of Korea, Spain, the United Arab Emirates and the United States of America. The structure is decentralized for some offices (Washington, D.C., Brussels and Japan, as well as regional and country offices) while others remain centralized (that is, reporting to the Government Partnerships Division in the case of Seoul, Berlin, Paris, Beijing, Dubai and Madrid).
WHO	As part of WHO reforms in 2011, an internal task force on financing and fundraising was established. It expressed its view that WHO requires (a) a revised corporate resource mobilization strategy, (b) an expanded funding base, (c) a revised financing framework, and	Based on an ongoing review of existing resource mobilization strategies and action plans, and under the joint leadership of senior management across the Organization, the current decentralized structure will employ horizontal technical networks which will be	The Department for Planning, Resource Coordination and Performance Monitoring (PRP) in the General Management Cluster is responsible for the overall function of resource mobilization. There are resource mobilization focal points in each regional office. The

Organization	*Existence of strategy policy document*	*Scope of strategy policy*	*Structure*
	(d) a new corporate communications strategy and framework. The Task Force on Resource Mobilization and Management Strategies was established in 2012 to advise the Director-General and the Global Policy Group on resource mobilization. There will be a three-phased approach: approval of the programme budget; the financing dialogue; and a coordinated approach to resource mobilization. The strategy will be aligned with the outcome of the financing dialogue. The plan of action for resource mobilization will unite all three levels of the Organization around a common resource mobilization agenda under the leadership of the Director-General and the regional directors. The plan will be developed with the participation of all levels of the Organization, and will be based on actionable information on donor preferences, with clearly defined roles and responsibilities.	used as the backbone for clearly defining a cycle of resource mobilization and coordination.	clusters and some technical units also have resource mobilization staff. Government-related resource mobilization is led by PRP. The Policy and Strategic Directions Unit (PSD), in the Director-General's Office Cluster, is responsible for engagement by WHO with non-State stakeholders and, as part of its responsibilities, conducts due diligence assessments of private sector entities and foundations. Clearance from PSD, the Legal Department, PRP and Accounts is a requirement prior to acceptance of contributions from the private sector. Resource mobilization related to, for example, multi-donor trust funds and other United Nations mechanisms is supported by dedicated experts in the Director-General's Office. The Resource Mobilization Service staff report to the Director of PRP.
WIPO	No. A draft partnership and resource mobilization strategy of 2009 is currently under revision. Within the overall financing structure of the activities of WIPO, voluntary contributions and resource mobilization represent a very small source of funding.	N/A	The Intergovernmental Organizations and Partnerships Section within the Department of External Relations is the coordinating function within WIPO on issues of resource mobilization. The role of the Section is to ensure information sharing, support services and coordination. Partnerships and resource mobilization with the private sector are coordinated by the Section and undertaken on a project specific basis. The Section reports to the Executive Director of the Department of External Relations and the Deputy Director-General responsible for the Global Issues Sector at WIPO. The overall budgetary resources of the Intergovernmental Organizations and Partnerships Section for the 2010-2011 biennium were $403,000.
WMO	The Resource Mobilization Strategy approved in 2012 by the WMO Executive Council at its sixty-fourth session covers the period 2012-2015.	It is an organization-wide strategy; resource mobilization is centralized at the headquarters level.	The Office for Resource Mobilization and Development Partnerships at headquarters houses the Project Coordination Unit, which reports to the Director of the Development and Regional Activities Department.

Annex II

Composition of resource mobilization offices and resources available to them

Unless otherwise noted, all positions are full-time, budgetary resources do not include staff costs, and voluntary contributions do not include other revenue.

Funds and programmes

UNEP	**2006-2007**	**2008-2009**	**2010-2011**
Donor Partnerships and Contributions Section			
No. of Directors/equivalent	*0*	*1*	*1*
No. of P-5s/equivalent	*1*	*1*	*1*
No. of P-3s/equivalent	*0*	*0*	*1*
No. of P-2s/equivalent	*0*	*2-1*	*1*
No. of GS/equivalent	*2*	*3*	*3*
Total number of staff	***3***	***7-6***	***7***
Total budgetary resources	***$414,400***	***$1,440,214***	***$1,920,442***
Total voluntary contributions	***$152,609,000***	***$233,343,000***	***$267,612,000***
UNFPA	**2006-2007**	**2008-2009**	**2010-2011**
Resource Mobilization Branch			
No. of Directors/equivalent	*1*	*1*	*1*
No. of P-5s/equivalent	*2*	*2*	*2*
No. of P-4s/equivalent	*4*	*4-3*	*3*
No. of P-3s/equivalent	*2-1*	*2*	*2*
No. of P-2s/equivalent	*1*	*2*	*1*
No. of GS/equivalent	*4*	*8*	*8*
Total number of staff	***14-13***	***19-18***	***17***
Total budgetary resources	***$1,088,103***	***$3,275,481***	***$4,283,997***
Total voluntary contributions	***$1,294,000,000***	***$1,553,900,000***	***$1,732,400,000***
UNHCR	**2006-2007**	**2008-2009**	**2010-2011**
Donor Relations and Resource Mobilization Service (DRRM)			
No. of Directors/equivalent	*1 - 1*	*1 - 1*	*1 - 1*
No. of P-5s/equivalent	*1 - 2*	*3 - 3*	*3 - 3*
No. of P-4s/equivalent	*5 - 6*	*4 - 4*	*4 - 5*
No. of P-3s/equivalent	*2 - 3*	*3 - 3*	*3 - 3*
No. of P-2s/equivalent	*5 - 4*	*4 - 4*	*4 - 4*
No. of GS/equivalent	*8 - 8*	*8 - 8*	*8 - 8*

No. of other (Junior Professional Officers)	4 - 6	6 - 4	6 - 5
Total number of staff DRRM	**26 - 30**	**29 - 27**	**29 - 29**
Total budgetary resources DRRM (including staff costs)	**$ 6,939,872**	**$ 8,431,423**	**$ 11,747,296**

UNHCR	**2006-2007**	**2008-2009**	**2010-2011**
Private Sector Fundraising Service (PSFR)			
No. of Directors/equivalent	1 - 1	1 - 1	1 - 1
No. of P-5s/equivalent	1 - 2	0 - 1	1 - 2
No. of P-4s/equivalent	5 - 4	2 - 2	2 - 2
No. of P-3s/equivalent	3 - 2	1 - 4	5 - 6
No. of P-2s/equivalent	2 - 2	2 - 1	1 - 2
No. of GS/equivalent	4 - 4	2 - 2	2 - 4
Total number of staff PSFR	16 - 15	8 - 11	12 - 17
Total budgetary resources PSFR (including staff costs)	**$ 16,975,061**	**$ 36,909,211**	**$ 82,886,147**
Total number of staff	42-45	37-38	31-46
Total budgetary resources (including staff costs)	**$ 23,914,933**	**$ 45,340,634**	**$ 94,633,443**
Total voluntary contributions	**$2,348,533,115**	**$3,313,741,961**	**$3,952,107,000**
UNODC	**2006-2007**	**2008-2009**	**2010-2011**
Co-financing and Partnership Section (including outpost in Brussels)			
No. of P-5s/equivalent	1	1	1
No. of P-4s/equivalent	2	2	2
No. of P-3s/equivalent	1	3	3
No. of P-2s/equivalent	2	0	0
No. of GS/equivalent	2	2	2
Total number of staff	**8**	**8**	**8**
Total budgetary resources	**$0.16 million**	**$0.12 million**	**$0.10 million**
Total voluntary contributions	**$343 million**	**$489.3 million**	**$479.7 million**
UNICEF	**2006-2007**	**2008-2009**	**2010-2011**
Public Sector Alliances and Resource Mobilization Office (PARMO)			
No. of Directors/equivalent	4	4	4
No. of P-5s/equivalent	12	13	13
No. of P-4s/equivalent	1	3	3
No. of P-3s/equivalent	10	11	11
No. of P-2s/equivalent	10	9	10
No. of GS/equivalent	17	19	19

Total number of staff PARMO	***54***	***59***	***60***	
Total budgetary resources PARMO	***$2 million***	***$3 million***	***$3 million***	
Private Fundraising and Partnerships Division (PFP)				
No. of Directors/equivalent	*5*	*5*	*5*	
No. of P-5s/equivalent	*8*	*18*	*19*	
No. of P-4s/equivalent	*28*	*33*	*45*	
No. of P-3s/equivalent	*30*	*36*	*51*	
No. of P-2s/equivalent	*16*	*11*	*10*	
No. of GS/equivalent	*117*	*105*	*74*	
No. of other	*27*	*23*	*21*	
Total number of staff PFP	***231***	***231***	***225***	
Total budgetary resources PFP*	***$165 million***	***$184 million***	***$198 million***	
Total number of staff	***285***	***290***	***285***	
Total budgetary resources	***$167 million***	***$187 million***	***$201 million***	
Total voluntary contributions	***$3,631,695,771***	***$4,495,625,731***	***$6,537,629,000***	
****Includes cost of goods delivered; investment funds; direct and indirect costs excluding staff cost***				
UNRWA	**2006-2007**	**2008-2009**	**2010-2011**	
Donor Relations Division, Partnerships Unit				
No. of Directors/equivalent	*1*	*1*	*1*	
P-5s/equivalent	*2*	*2*	*2*	
P-4s/equivalent	*3*	*3*	*4*	
P-3s/equivalent	*0*	*0*	*1*	
P-2s/equivalent	*3*	*3*	*4*	
GS/equivalent	*14*	*14*	*14*	
Total number of staff	***23***	***23***	***26***	
Total budgetary resources	***$2,756,682***	***$5,482,206***	***$7,872,835***	
Total voluntary contributions	***$1,202,710,171***	***$1,650,581,419***	***$1,674,798,429***	

WFP	**2006-2007**	**2008-2009**	**2010-2011**	**As at 31/1/2013**
Government Partnerships Division (PGG) (includes staff at headquarters (34) and liaison offices in Beijing (1), Berlin (4), Madrid (1), Paris (2) and the United Arab Emirates (1))				
International professional staff	Not available			*17*
International professional staff (short-term)				*5*
Junior Professional Officers				*1*
GS staff				*12*
GS staff (short-term)				*4*
Consultants				*4*

Total number of staff PGG				***43***
Brussels Liaison Office				
International professional staff	Not available			*5*
GS staff				*3*
GS staff (short-term)				*1*
Consultants				*1*
Total number of staff Brussels Liaison Office				***10***
Tokyo Liaison Office				
International professional staff	Not available			*3*
GS staff				*1*
GS staff (short-term)				*1*
Total number of staff Tokyo Liaison Office				***5***
Washington, D.C., Liaison Office				
International professional staff	Not available			*4*
GS staff				*4*
Consultants				*4*
Total number of staff Washington, D.C., Liaison Office				***12***
Private Sector Partnerships Division (PGP) (includes staff at headquarters (20) and Australia (1), Indonesia (1), Republic of Korea (3), Thailand (2), United Arab Emirates (2), United Kingdom of Great Britain and Northern Ireland (2), United States of America (7))				
International professional staff	Not available			*21*
International professional staff (short-term)				*5*
Junior professional officers				*1*
GS staff				*4*
Consultants				*7*
Total number of staff PGP				***38***
Total number of staff (PGG, Liaison Offices and PGP)				***108***
Budgetary resources	***2006-2007***	***2008-2009***	***2010-2011***	Not available
Government Sector HQ	*$7.3 million*	*$9 million*	*$10.7 million*	
Brussels	*$2.4 million*	*$3.2 million*	*$3.9 million*	
Tokyo	*$3.4 million*	*$2.8 million*	*$2.9 million*	
Washington, D.C.	*$3.7 million*	*$3.4 million*	*$4 million*	
Berlin	*$1.6 million*	*$0.8 million*	*$0.9 million*	

Private Sector HQ	*$9 million*	*$2.2 million*	*$2.1 million*	
Total budgetary resources	***$27.4 million***	***$21.4 million***	***$24.5 million***	
Total voluntary contributions	***$5,588,273,000***	***$9,493,800,000***	***$7,863,295,000***	
UNAIDS	**2006-2007**	**2008-2009**	**2010-2011**	
	Donor Relations Unit (DRU)	***Resource Mobilization Unit (RMO)***	***Resource Mobilization Division (RMO)***	
No. of Directors/equivalent	*0*	*0*	*1*	
No. of P-5s/equivalent	*1*	*1*	*0*	
No. of P-4s/equivalent	*1*	*1*	*2*	
No. of P-3s/equivalent	*2*	*1*	*4*	
No. of P-2s/equivalent	*1*	*2*	*1*	
No. of GS/equivalent	*1*	*2 - 1 full-time/ 1 part-time*	*1 full-time/1 part-time*	
Total number of staff	***6***	***7***	***10***	
Total budgetary resources DRU	***$81,954***	***n/a***	***n/a***	
Total budgetary resources RMO (core)	***n/a***	***$1,068,733***	***$1,700,000***	
Total budgetary resources RMO (non-core)	***n/a***	***$1,382,769***	***$765,604***	
Total budgetary resources	***$81,954***	***$2,451,502***	***$2,465,604***	
Total voluntary contributions	***$522,587,000***	***$543,591,263***	***$525,491,000***	

Specialized agencies

FAO	**2006-2007**	**2008-2009**	**2010-2011**
No. of Directors/equivalent	*0.25*	*0.4*	*1*
No. of P-5s/equivalent	*0.2*	*0.4*	*5*
No. of P-4s/equivalent	*0.3*	*0.1*	*1*
No. of P-3s/equivalent	*0.4*	*0.4*	*1*
No. of GS/equivalent	*1.1*	*1.7*	*6*
Total number of staff	***2.25***	***3***	***14***
Resource mobilization for Member States	***$728,270***	***$863,567***	*-*
Resource Mobilization and Management Strategy	*-*	*-*	***$841,649***
Total budgetary resources	***$728,270***	***$863,567***	***$841,649***
Total voluntary contributions	***$1,051,613,000***	***$1,443,847,000***	***$1,790,453,000***
ILO	**2006-2007**	**2008-2009**	**2010-2011**
No. of Directors/equivalent	*0.5*	*0.5*	*1*
No. of P-5s/equivalent	*1*	*1.5*	*1.5*
No. of P-4s/equivalent	*1*	*1.5*	*2.5*

No. of P-3s/equivalent	*1*	*1*	*1*
No. of P-2s/equivalent	*1*	*1*	*1*
No. of GS/equivalent	*1*	*1*	*1*
Total number of staff	***5.5***	***6.5***	***8***
Total budgetary resources	***$927,672***	***$1,196,508***	***$1,704,120***
Total voluntary contributions	***$415,647,000***	***$506,810,000***	***$519,059,000***
UNESCO	**2006-2007**	**2008-2009**	**2010-2011**
Bureau of Strategic Planning, Division for Cooperation with Extrabudgetary Funding Sources (BSP/CFS)			
No. of Assistant Director-Generals	*1*	*1*	*1*
No. of Directors/equivalent	*1*	*1*	*1*
No. of P-5s/equivalent	*2*	*2*	*2*
No. of P-4s/equivalent	*3*	*3*	*3*
No. of P-3s/equivalent	*3*	*4*	*3*
No. of P-2s/equivalent	*4*	*4*	*3*
No. of GS/equivalent	*9*	*8*	*6*
No. of other (associate experts/secondments)	*2*	*2*	*4*
Total number of staff	***25***	***25***	***23***
Total budgetary resources	***N/A***	***$ 474,699***	***$ 348,102***
Total voluntary contributions	***$711,973,591***	***$601,316,496***	***$577,037,538***
UNIDO	**2006-2007**	**2008-2009**	**2010-2011**
Strategic Planning, Donor Partnerships and Quality Assurance Branch			
No. of Directors/equivalent	*1*	*1*	*1*
No. of P-5s/equivalent	*1*	*1*	*1*
No. of P-4s/equivalent	*1*	*0*	*0*
No. of P-3s/equivalent	*1*	*1*	*1*
No. of GS/equivalent	*2*	*2*	*2*
Total number of staff	***6***	***5***	***5***
Total budgetary resources	***$ 1,753,455***	***$ 1,625,518***	***$ 1,649,911***
Total voluntary contributions	***$248,355,543***	***$290,119,000***	***$477,963,000***
UNWTO	**2006-2007**	**2008-2009**	**2010-2011**
Institutional and Corporate Relations Programme (resource mobilization functions performed on a part-time basis)			
No. of P-3s/equivalent			*1*
No. of P-2s/equivalent			*1*
No. of other			*1*
Total number of staff			***3***
Total budgetary resources			***$40,000***

Total voluntary contributions	**$6,844,944**	**$13,178,598**	***$13,383,000***
WHO	**2006-2007**	**2008-2009**	**2010-2011**
No. of Directors/equivalent	*Not available*	*40 per cent D-2*	*40 per cent D-2*
No. of P-5s/equivalent		*18*	*18*
No. of P-4s/equivalent		*6*	*6*
No. of P-3s/equivalent		*1*	*1*
Total number of staff		***25***	***25***
Total budgetary resources		***20 per cent of total staff costs***	
Total voluntary contributions	***$3,183,160,863***	***$2,745,018,566***	***$3,068,776,000***
WMO	**2006-2007**	**2008-2009**	**2010-2011**
No. of Directors/equivalent	*1*	*1*	*1*
No. of P-5s/equivalent	*1*	*1*	*1 (vacant for 12 months)*
No. of P-4s/equivalent	*0*	*0*	*1*
No. of other (Junior Professional Officers)	*0*	*1*	*1*
Total number of staff	***2***	***3***	***4***
Total budgetary resources	-	***$320,000***	***$398,000***
Total voluntary contributions	***$32,985,999***	***$57,616,754***	***$66,681,000***

Annex III

Top 10 member State donors for the period 2006-2011

Funds provided (in thousands of United States dollars)

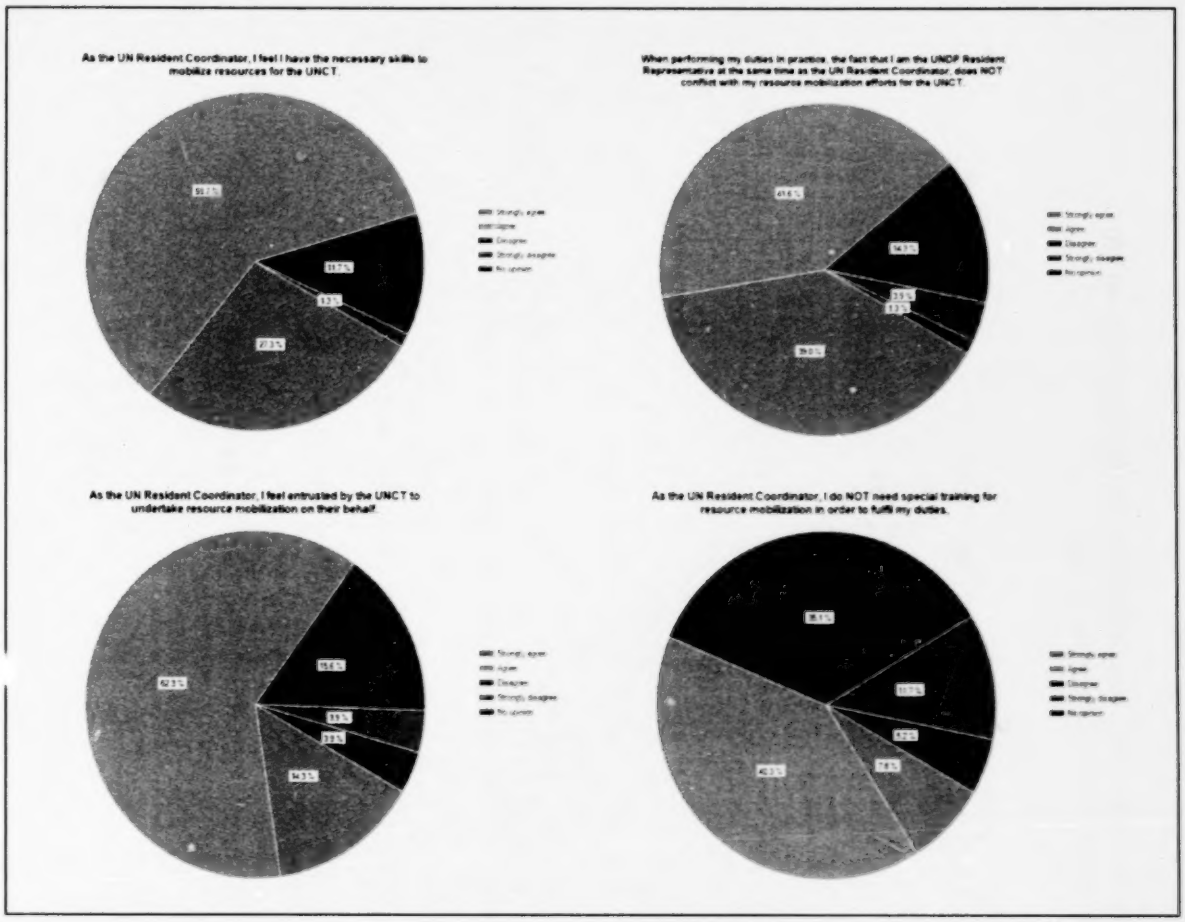
Cumulatively		2011		2010		2009		2008		2007		2006	
United States of America	19,751,907	United States of America	3,416,480	United States of America	3,886,758	United States of America	3,546,915	United States of America	3,682,341	United States of America	2,565,087	United States of America	2,654,326
United Kingdom of Great Britain and Northern Ireland	6,475,826	United Kingdom of Great Britain and Northern Ireland	1,392,823	Japan	1,348,413	United Kingdom of Great Britain and Northern Ireland	918,452	United Kingdom of Great Britain and Northern Ireland	1,025,986	United Kingdom of Great Britain and Northern Ireland	1,070,589	United Kingdom of Great Britain and Northern Ireland	988,743
Japan	5,438,998	Japan	1,146,528	United Kingdom of Great Britain and Northern Ireland	1,079,233	Japan	852,226	Netherlands	831,933	Sweden	759,240	Japan	734,524
Sweden	4,355,026	Canada	1,044,374	Norway	797,176	Netherlands	848,089	Canada	787,203	Norway	739,829	Sweden	693,931
Canada	4,274,047	Sweden	844,867	Canada	788,075	Spain	803,335	Japan	785,215	Netherlands	656,273	Netherlands	590,266
Netherlands	4,245,886	Norway	817,617	Netherlands	731,197	Sweden	766,090	Norway	650,323	Canada	582,556	Norway	537,520
Norway	4,196,443	Netherlands	588,128	Sweden	723,725	Norway	653,978	Spain	627,623	Japan	572,092	Canada	485,707
Spain	2,818,382	Australia	518,105	Spain	443,756	Canada	586,132	Sweden	567,173	Spain	494,651	Brazil	402,699
Germany	2,066,817	Germany	414,709	Germany	379,818	Germany	460,055	Saudi Arabia	520,564	Brazil	396,911	Argentina	293,688
Australia	1,350,188	Argentina	298,142	Australia	257,724	Australia	184,555	Italy	351,352	Italy	393,320	Germany	284,887

Number of United Nations system organizations supported

Cumulatively		2011		2010		2009		2008		2007		2006	
Germany	22	Japan	20	Japan	20	Norway	20	Spain	18	Italy	17	Sweden	18
Netherlands	22	United States of America	19	Germany	19	Germany	18	Norway	17	Netherlands	17	United Kingdom of Great Britain and Northern Ireland	17
Norway	22	Norway	18	Norway	18	Netherlands	18	United States of America	17	Sweden	17	United States of America	17
Sweden	22	Sweden	18	United States of America	18	Sweden	18	Canada	16	Norway	16	Norway	16
Italy	21	United Kingdom of Great Britain and Northern Ireland	17	Sweden	16	United States of America	18	Netherlands	16	Spain	16	Japan	15
Japan	21	Canada	16	Netherlands	15	Spain	17	United Kingdom of Great Britain and Northern Ireland	16	United Kingdom of Great Britain and Northern Ireland	16	Spain	15
United States of America	21	Netherlands	15	Spain	14	Japan	14	Japan	15	Canada	15	Netherlands	14
Canada	20	Australia	14	United Kingdom of Great Britain and Northern Ireland	14	United Kingdom of Great Britain and Northern Ireland	14	Germany	14	United States of America	15	Canada	13
Spain	20	Germany	13	Canada	13	Canada	12	Sweden	14	Japan	14	Germany	13
United Kingdom of Great Britain and Northern Ireland	20	Denmark	10	Australia	8	Denmark	7	Italy	13	Germany	10	Italy	12

Annex IV

Results of the survey of resident coordinators


As the UN Resident Coordinator, I feel I have the necessary skills to mobilize resources for the UNCT.
When performing my duties in practice, the fact that I am the UNDP Resident Representative at the same time as the UN Resident Coordinator, does NOT conflict with my resource mobilization efforts for the UNCT.
As the UN Resident Coordinator, I feel entrusted by the UNCT to undertake resource mobilization on their behalf.
As the UN Resident Coordinator, I do NOT need special training for resource mobilization in order to fulfil my duties.

Annex V

Overview of action to be taken by participating organizations on the recommendations of the Joint Inspection Unit

JIU/REP/2014/1

		Intended impact	United Nations, its funds and programmes															Specialized agencies and IAEA												
			CEB	United Nations*	UNCTAD	ITC	UNDP	UNEP	UNFPA	UN-Habitat	UNHCR	UNICEF	UNODC	UNOPS	UNRWA	UN-Women	WFP	FAO	IAEA	ICAO	ILO	IMO	ITU	UNAIDS	UNESCO	UNIDO	UNWTO	UPU	WHO	WIPO	WMO
Report	For action		☐	☒	☒	☐	☒	☒	☒	☒	☒	☒	☒	☐	☒	☒	☒	☒	☒	☒	☒	☐	☒	☒	☒	☒	☐	☐	☒	☒	☐
	For information		☒	☐	☐	☒	☐	☐	☐	☐	☐	☐	☐	☒	☐	☐	☐	☐	☐	☐	☐	☒	☐	☐	☐	☐	☒	☒	☐	☐	☒
Recommendation 1		a		L	L		L	L	L	L	L	L	L		L	L	L	L	L	L	L		L	L	L	L			L	L	
Recommendation 2		f		L	L		L	L	L	L	L	L	L		L	L	L	L	L	L	L		L	L	L	L			L	L	
Recommendation 3		h		E	E														E	E										E	
Recommendation 4		f		E	E		E	E	E	E	E	E	E		E	E		E	E	E	E		E	E	E	E			E	E	
Recommendation 5		h		E	E		E	E	E	E	E	E	E		E	E	E	E	E	E	E		E	E	E	E			E	E	

Legend: L: Recommendation for decision by legislative organ E: Recommendation for action by executive head

☒: Recommendation does not require action by this organization

Intended impact: **a**: enhanced transparency and accountability **b**: dissemination of good/best practices **c**: enhanced coordination and cooperation **d**: strengthened coherence and harmonization **e**: enhanced control and compliance **f**: enhanced effectiveness **g**: significant financial savings **h**: enhanced efficiency **i**: other.

* Covers all entities listed in ST/SGB/2002/11 other than UNCTAD, UNODC, UNEP, UN-Habitat, UNHCR, UNRWA.

United Nations A/69/738

General Assembly

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Sixty-ninth session
Agenda item 68
Promotion and protection of human rights

Letter dated 19 January 2015 from the Permanent Representative of Uzbekistan to the United Nations addressed to the Secretary-General

I have the honour to convey to you the attached information on the development of civil society institutions in the Republic of Uzbekistan (see annex).

I would appreciate it if you could circulate the present letter and its annex as a document of the sixty-ninth session of the General Assembly, under agenda item 68.

(*Signed*) Muzaffar **Madrakhimov**

15-00762 (E) 280115

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Annex to the letter dated 19 January 2015 from the Permanent Representative of Uzbekistan to the United Nations addressed to the Secretary-General

[Original: Russian]

The stages of formation and development of civic institutions in Uzbekistan

After Uzbekistan gained independence in 1991, large-scale changes were initiated for the main purpose of building a democratic State, based on the rule of law with a socially oriented market economy, and forming a strong civil society.

The country also chose its own "Uzbek model" of development, which involves political, economic and social reforms based on such principles as:

- Stripping the economy of its ideological bias and giving the economy precedence over politics
- The role of the State as a major reformer
- Rule of law
- Robust social policy
- Consistency and a gradual approach in implementing reforms, that is, rejection of the various models of shock therapy.

In setting the aim of forming a strong civil society, the term "civil society" is understood in Uzbekistan to mean a social space where the rule of law prevails; human rights interests and freedoms are defended; favourable conditions for development and personal fulfilment have been established; and independent and sustainable institutions are supported by the broader community.

Forming the foundation for civil society is a long and continuous process that is fraught with challenges and difficulties. The success of this process depends on institutional factors (State policy on civil society institutions and qualitative indicators for their activities) and human factors associated with personal and social behaviour (the level of legal awareness and political and legal culture of citizens and their involvement in social initiatives and the activities of civil institutions).

For the purposes of this document, citizens' self-governing bodies (Makhallya), political parties, mass movements, trade unions, public foundations, non-governmental non-profit organizations and independent mass media outlets are considered to be civil society institutions.

On the whole, when analysed retrospectively, the path taken by Uzbekistan in establishing civil society institutions can be divided, in essence, content and importance, into the following three stages.

The first stage, from 1991 to 2000, is the stage of initial reform and transformation during the transitional period and the formation of the legal basis for the establishment and functioning of various civil society institutions.

First of all, there was the adoption in 1992 of the basic law of Uzbekistan — the Constitution — in which the human being, human life, freedom, honour and dignity and other unalienable rights constitute the supreme values.

The Constitution established the rights of citizens to form trade unions, political parties and other public associations and to participate in mass movements. Moreover, according to article 58 of the Constitution of the Republic of Uzbekistan, "the State ensures observance of the rights and legal interests of public associations, and establishes equal legal opportunities for participation in public life". The Constitution also recognizes the freedom of the mass media and prohibits censorship.

A number of pieces of legislation adopted during this period govern the procedure for the establishment and functioning of public associations, self-governing bodies, non-governmental non-profit organizations, political parties and mass media.

In particular, these include the following laws: on public associations (1991); on trade unions, rights and guarantees of their activity (1992); on political parties (1996); on the mass media (1997), on protection of the professional activity of journalists (1997); on guarantees and freedom of access to information (1997); on non-governmental non-profit organizations (1999).

The adoption of these laws gave a powerful impetus to the development of civil society institutions. Accordingly, whereas on 1 January 1991 the number of non-governmental organizations in the Republic was just 95, by 1 January 2000 it had reached 2,585. They include the following public foundations that enjoy the support of the broader community: Makhallya, Nuronii, Soglom Avlod Uchun, Ekosan, the Women's Committee of Uzbekistan, the Kamolot civic youth movement and others.

Another example is the number of mass media organizations registered, which was 291 on 1 January 1991, compared to 562 on 1 January 2000. The proportion of non-State-owned mass media in the total rose to 23 per cent during the same period.

As for the activities of political parties, four officially registered political parties were already operating in independent Uzbekistan on 1 January 2000 after the collapse of the old one-party system and, following the nationwide elections, their representatives became members of the national parliament.

The law on citizens' self-governing bodies, adopted in 1993 and amended in 1999, was very important for strengthening and developing the naturally established traditional Uzbek self-governing institution of Makhallya. This legislation was adopted specifically to support the activities of Makhallya as an effective self-governing body that enjoys the full support of the people and is capable of resolving vital and urgent issues.

The second stage, from 2000 to 2010, is defined by processes of active democratic renewal and modernization of the country and the independent functioning of civil society institutions. The main task during this stage of the reform was the consistent and gradual transition from a strong State, which was essential during the transition and for the formation of national Statehood, to a strong civil society.

During this period, in particular, a number of legal and regulatory acts were adopted and public initiatives were implemented for the further development of civil society institutions, to safeguard their activities and increase their efforts and resources for very important and socially significant tasks.

Accordingly, the adoption in 2004 of the law on the funding of political parties was very important to boost the activity of political parties and strengthen their organizational capacity and logistics. Under that law, a national system was established to fund the statutory activities of political parties from existing domestic sources and State funds.

Further development of the multiparty system was greatly facilitated by the adoption of a constitutional law that enhanced the parties' role in the renewal and further democratization of public administration and the modernization of Uzbekistan. As a result of these initiatives, in 2009 there was intra-party struggle and competition in the elections not only of deputies for the Oliy Majlis (legislature), but also of people's deputies for the local Kengashi (councils).

During this period Uzbekistan also adopted laws on the principles and guarantees of the freedom of information (2002); on public foundations (2003); and on guarantees of the activity of non-governmental non-profit organizations (2007); and the Decision of the President of Uzbekistan on measures to promote the development of civil society in Uzbekistan (2005); these laws were designed to strengthen the role and significance of civil institutions in resolving citizens' urgent socioeconomic problems, protecting human rights and ensuring freedom of speech and information.

Another measure to provide support for civil society institutions was the adoption in 2008 of the decision of the Oliy Majlis on measures to strengthen support for non-governmental organizations and other civil society institutions.

In accordance with the above decision of the highest legislative organ, a public foundation to support non-governmental organizations and other civil society institutions was created, as well as a Parliamentary Commission to manage the foundation's resources. The members of the Parliamentary Commission are deputies from the legislature, members of the Senate of the Oliy Majlis and representatives of leading and authoritative non-governmental organizations, other civil society institutions and the ministries of justice and finance.

Over the period 2008-2013, State budget funds amounting to over 28 billion sum were allocated for non-governmental organizations and other institutions to implement various socially significant projects. The resources were allocated by a decision of the Parliamentary Commission and were used to support civil society initiatives through grant competitions and the awarding of subsidies and purchase orders.

As a result of these measures, the National Association of Non-Governmental Non-Profit Organizations of Uzbekistan, which was established in 2005 and has over 400 public organizations as members, is still successfully in operation. The Association has set up an effective system of organizational, financial and material support for its members, and enhances the efforts of non-governmental organizations in socially significant projects and programmes.

Another public organization that has won broad public support is the Ecological Movement of Uzbekistan, which was established in 2008 to protect the environment and human health, increase environmental awareness among the public and support the rational use of natural resources and social monitoring of the implementation of laws and State decisions on environmental and health issues.

In view of the importance of the Movement's work, a special legislative provision was introduced in 2008 providing for 15 deputies of the lower house of parliament to be elected from the Ecological Movement.

During this period measures were also taken to develop non-State-owned mass media and support their active participation in the democratization of information. In particular, in the interests of supporting non-State-owned mass media and strengthening their logistics and human resources, the following bodies were established: a national association of electronic mass media, with a membership of over 100 electronic mass media outlets, and a public foundation for the support and development of independent print mass media outlets and information agencies of Uzbekistan.

During the third stage, which covers the period from 2011 to the present, civil society institutions have developed against a background of systemic measures in the context of the policy of further expansion of democratic reforms and the formation of civil society in Uzbekistan — a policy that was launched in November 2010 by President Karimov at a joint meeting of the houses of parliament to define the main priorities for national development.

This policy paved the way for transformations in all spheres of public life, with the clear objective of developing and adopting new legal and regulatory texts, inter alia to expand the participation of civil society institutions in building the State and society.

In the context of this policy, the following work has been carried out for the further development and strengthening of civil society institutions.

1. Parliament has adopted and the President has signed amendments to two laws: the Local Authorities Act and the law on elections of chairpersons of citizen's bodies and their advisers.

The first law was designed to improve the infrastructure of the citizens' self-governing institution, the Makhallya, and make it the focal point for targeted social assistance to the population, and also to expand the functions of the Makhallya in the system of social monitoring of the activity of State authorities.

At the same time, the law on elections of chairpersons of citizens' bodies and their advisers is designed to further improve the system of elections, to ensure that the chairpersons and their advisers are elected from among the most worthy, experienced, respected and trustworthy individuals and to increase transparency in the exercise of citizens' right to elect and be elected to their self-governing bodies.

2. The Environmental Control Act was adopted and has entered into force. It is designed to strengthen the role of citizens' self-governing bodies, non-governmental organizations and other social organizations in carrying out environmental monitoring, ensuring compliance with the human right of access to environmental information and making decisions on the most important State programmes in the sphere of environmental protection and health.

3. In April 2014 the law on transparency in the work of national and local authorities entered into force. It provides an institutional framework for implementation of the constitutional rights of citizens to information and a procedure for informing the public of the activity and decisions of national and local authorities.

For the first time in legal practice in Uzbekistan, the adoption of this law was preceded by the conduct of a legal experiment in 2013, in which the draft legislation was tested by the local authorities of the Bukharsk and Samarkand provinces. The mass media, non-governmental organizations and the citizens themselves were involved in the legal test, which demonstrated the effectiveness of this new method of drawing on the potential of civil society.

4. In September 2014 the law on social partnership was adopted and entered into force. It is designed to improve the institutions that govern the relations of non-governmental organizations with government bodies in their efforts to implement socioeconomic development programmes, resolve humanitarian problems and protect the rights, freedoms and interests of various population groups.

5. The draft bill on public monitoring in the Republic of Uzbekistan has been prepared and is currently under discussion. It provides for the establishment of a legal mechanism whereby society and civil institutions can monitor the implementation of legislation by government authorities, that is, it provides for effective feedback between society and the State.

6. A national programme of action in the field of human rights is in preparation. The programme provides for public monitoring of compliance with laws, in particular by law enforcement and regulatory authorities, in order to defend human rights and freedoms and develop a culture of human rights in society.

It is particularly important to note that the aforementioned laws and regulatory acts are being drafted by a specially established commission whose members are specialists from the relevant ministries and departments, deputies, experts from research centres and representatives of civil society institutions. The commission conducts its work in compliance with the following requirements:

- Active participation of representatives of the mass media and public organizations in the process of drafting legal and regulatory acts
- Critical analysis of current legislation and an in-depth study of national and international experience
- Broad public discussion of the plans for regulatory and legal acts, including in the form of various round tables and conferences.

Accordingly, as part of these efforts and over the period 2011-2013, the independent institute for monitoring the formation of civil society has organized and conducted about 100 regional and national round tables with the participation of about 2300 representatives of domestic non-governmental organizations, self-governing bodies, the mass media, political parties and other organizations.

In general, it can be said that the adoption of this policy has given a strong and positive boost to the development of civil society institutions and to their participation in the defence of the public interest and in the processes of democratization and modernization in Uzbekistan.

United Nations A/69/739*-S/2015/47*

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Security Council

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Sixty-ninth session
Agenda item 68
Promotion and protection of human rights

Security Council
Seventieth year

Identical letters dated 21 January 2015 from the Permanent Representative of the Democratic People's Republic of Korea to the United Nations addressed to the Secretary-General, the President of the General Assembly and the President of the Security Council

Upon instructions from my Government, I have the honour to draw your attention to the fact that a man called Sin Tong Hyok (also known as Shin Dong-hyuk), whose testimony mainly contributed to the report of the commission of inquiry on human rights in the Democratic People's Republic of Korea (DPRK), recently confessed that he gave false testimony, apologized for misleading people and mentioned not being involved in the "human rights campaign" against the Democratic People's Republic of Korea, thereby revealing the true colours of the anti-DPRK "human rights" racket pursued by the United States of America and other western countries.

As the Democratic People's Republic of Korea has clarified on several occasions, there have been no "political prison camps" in the Democratic People's Republic of Korea and the so-called report of the commission of inquiry on human rights was not worth being considered at all at the United Nations because it was a fraudulent document based on the false testimonies of so-called defectors from North Korea, like Sin Tong Hyok.

Speaking of Sin Tong Hyok, he is a swindler who appeared with a false name and career, and who is no more than a parasite who has prolonged his remaining days by pretending to be a "survivor from the political prison camps", which are non-existent in the Democratic People's Republic of Korea, under the instructions of his masters, and a criminal who fled after raping a minor, a girl who was only 13 years old.

However, the United States of America and some other countries have revealed their scandalous nature by praising liars and criminals like Sin Tong Hyok as "human rights fighters", bringing them to testify at a high-level meeting on the

* Reissued for technical reasons on 28 January 2015.

15-00792* (E) 280115

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situation of human rights in North Korea, held in New York in September 2014, and other events at the United Nations, and referring the "human rights situation" of the Democratic People's Republic of Korea to the Security Council, in favour of the worthless report of the commission of inquiry on human rights in the Democratic People's Republic of Korea.

Furthermore, it cannot be overlooked that John Kerry, the Secretary of State of the United States of America, and other American politicians, not content with resorting to their desperate anti-DPRK policy, have misled world public sentiment and cheated the international community with scandalous misinformation by bringing Sin Tong Hyok to give false testimony in the anti-DPRK "human rights campaign", although they were well aware of his true nature.

This reminds the international community of the fact that Colin Powell, former Secretary of State of the United States of America, created a lengthy lie on the "possession of weapons of mass destruction" by the regime of Saddam Hussein at a Security Council meeting on 5 February 2003, in order to make an excuse and condition for the invasion of Iraq.

Since the report of the commission of inquiry on human rights in the Democratic People's Republic of Korea was proven to be a fraudulent document fabricated on the basis of false testimonies of liars like Sin Tong Hyok, it is needless to say that all the "resolutions" on the situation of human rights in the Democratic People's Republic of Korea forcibly adopted by the General Assembly on the basis of such false documents are invalid.

I strongly request that the United Nations take an impartial and fair stand, being well aware that the anti-DPRK "human rights campaigns" pursued by the United States and others are utterly irrelevant to the protection of genuine human rights, and are rather dangerous moves to tarnish the image of the Democratic People's Republic of Korea and to find a pretext to invade it.

For your information regarding Sin Tong Hyok's true nature, I would like to inform you of the following links:

http://www.uriminzokkiri.com/itv/php_tmp/flvplayer.php?no=24362

http://www.uriminzokkiri.com/itv/php_tmp/flvplayer.php?no=24382

I should be grateful if you would have the present letter circulated as a document of the sixty-ninth session of the General Assembly, under agenda item 68, and of the Security Council.

(*Signed*) **JA** Song Nam
Ambassador
Permanent Representative